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ABSTRACT

This study is intended primarily to assist administrative officials and those responsible for administrative and management services in United Nations agencies, as well as similar officials in other international and regional organizations, both governmental and non-governmental, in the establishment and development of modern records management and archival systems and services that will help meet the particular record and information needs of their institutions, while at the same time providing essential services on a sound professional basis. The study is based largely on responses to a questionnaire which was sent in 1981 to 32 United Nations agencies to gain better insight into their organizational status, procedures, and problems. The report is divided into six chapters: (1) Introduction; (2) General Requirements for an Effective Records Management and Archives Program; (3) Managing the Life Cycle of Records and Archives; (4) Control, Appraisal and Disposal of Records; (5) Administration of Modern Archives; and (6) Guidelines. The current situation is described, problems and alternative solutions are discussed, and a number of specific conclusions are made for each topic addressed in chapters 2-5. The guidelines in the final chapter summarize the conclusions under each of the foregoing topics. The six appendices and five figures include examples of directives and forms used in various agencies. A three-page bibliography and an index are also included. (DMC)

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DEVELOPMENT OF RECORDS MANAGEMENT AND ARCHIVES SERVICES WITHIN UNITED NATIONS AGENCIES: A RAMP STUDY WITH GUIDELINES

prepared by

Marie Charlotte STARK

General Information Programme and UNISIST

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IR050 752

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PREFACE

The Division of the General Information Programme of Unesco in order to better meet the needs of Member States, particularly developing countries, in the specialized areas of records management and archives administration, has developed a coordinated long-term Records and Archives Management Programme - RAMP.

The basic elements of the RAMP programme reflect the overall themes of the General Information Programme itself. RAMP thus includes projects, studies, and other activities intended to:

1. Promote the formulation of information policies and plans (national, regional and international).

2. Promote and disseminate methods, norms and standards for information handling.

3. Contribute to the development of information infrastructures.

4. Contribute to the development of specialized information systems in the fields of education, culture, and communication, and the natural and social sciences.

5. Promote the training and education of specialists in and users of information.

The present study, prepared under contract with the International Council on Archives (ICA), is intended primarily to assist administrative officials and those responsible for administrative and management services in United Nations agencies, as well as similar officials in other international and regional organizations, both governmental and non-governmental, in the establishment and development of modern records management and archival systems and services that will help meet the particular record and information needs of their institutions, while at the same time providing essential services on a sound professional basis. It should also prove of value, however, not only to all records managers and archivists, but to anyone who creates and uses records.

Comments and suggestions regarding the study are welcomed and should be addressed to the Division of the General Information Programme, UNESCO, 7 place de Fontenoy, 75700 PARIS. Other studies prepared under the RAMP programme may also be obtained at the same address.

CONTENTS

		Page
1	INTRODUCTION	1
2	GENERAL REQUIREMENTS FOR AN EFFECTIVE RECORDS MANAGEMENT AND ARCHIVES PROGRAMME	6
2.1	Policy and Programme Directives	6
2.1.1	General Order and Regulations	6
2.1.2	Correspondence Manual and Secretaries' Handbook	9
2.1.3	Records Manual	11
2.1.4	Field Office Manual	12
2.2	Organizational Relationships	13
2.2.1	Location of Communications, Records Management and Archives Functions	13
2.2.2	Registry and Archives	17
2.2.3	Archives and Libraries	20
2.2.4	Secretariat Documentation	24
2.2.5	Offices Generating Machine-Readable Records	27
2.2.6	Liaison with Services Having Related Functions	29
2.3	Information Infrastructure: Functional Relationships	29
2.4	Field Offices	31
2.5	Archival Repositories for Abolished and Suppressed Organizations and Corporate Bodies	35
2.6	Staffing, Training and Orientation	37
2.6.1	Recruitment	37
2.6.2	Training	42
2.6.3	Orientation of Staff	47
2.7	Reporting and Statistics	49
3	MANAGING THE LIFE CYCLE OF RECORDS AND ARCHIVES	52
3.1	Records Creation	52
3.1.1	Specifications for Record Materials	52
3.1.2	Procedures for Specific Categories of Paperwork	57
3.1.2.1	Mail Management	57
3.1.2.2	Correspondence Management	59
3.1.2.3	Files Management	59
3.1.2.4	Forms Management	60
3.1.2.5	Reports Management	61
3.1.2.6	Directives Management	61
3.1.3	Automation	62
3.1.3.1	Automated Registry and Indexing Systems	63
3.1.3.2	Source Data Automation	66
3.1.4	Reprography: Convenience Copying	67
3.1.5	Micrographics	70
3.1.5.1	Basic Types of Microforms	70
3.1.5.2	Microfilming of Records	71
3.1.5.3	Legal Admissibility of Microforms as Evidence	74
3.1.5.4	COM (Computer-Output-Microfilm) Microforms	75
3.1.5.5	Microfilming of Documents and Publications	77
3.1.5.6	Micropublishing	80

C O N T E N T S (continued)

		Page
3.2	Current Records Maintenance	81
3.2.1	Filing Systems	81
3.2.2	Filing Equipment and Supplies	86
3.2.2.1	General Standards for Basic Equipment	86
3.2.2.2	Filing Accessories	88
3.2.2.3	Control of Assignment of Filing Equipment and Supplies	92
3.2.3	Vital Records Programmes and Security Copies	94
4	CONTROL, APPRAISAL AND DISPOSAL OF RECORDS: THE BRIDGE BETWEEN RECORDS MANAGEMENT AND ARCHIVES ADMINISTRATION	98
4.1	Record Surveys	98
4.2	Retention and Disposal	101
4.2.1	Destruction Methods	106
4.3	Appraisal Criteria	108
4.3.1	Appraisal of Specific Types of Records	113
4.3.1.1	Technical Cooperation Records	113
4.3.1.2	Machine-Readable Records	114
4.3.1.3	Private Papers of Officials	114
4.3.1.4	Personnel Files	115
4.3.2	Sampling Techniques	116
4.4	Record Centre/Archives	116
5	ADMINISTRATION OF MODERN ARCHIVES	121
5.1	Transfer and Accessioning of Archives	122
5.2	Recovery of Alienated Official Records and Acquisition of "Private Papers" and Related Non-Institutional Archives	125
5.3	Archival Integrity and Arrangement	126
5.4	Finding Aids	129
5.5	Automation: Application to Archives	131
5.6	Access and Restrictions on Use	133
5.6.1	Access Regulations	133
5.6.2	Classification, Downgrading and Declassification Procedures	134
5.6.3	Research Services and Facilities	137
5.7	Publication of Archival Material	140
5.8	Storage and Security	141
5.8.1	Space Allocation	141
5.8.2	Furnishings and Equipment	145
5.9	Preservation and Restoration	147
5.10	Archival Reprography	148
5.11	Exhibits and Other Educational and Cultural Services	151
6	GUIDELINES	154
APPENDICES		
A.	United Nations Agency Staff Who Were Consulted or Returned Questionnaire	185
B.	United Nations Archives Directives	187
C.	Sample Position Descriptions in United Nations Agencies	191

CONTENTS (concluded)

		Page
D.	ILO Application of MINISIS for Mail Registry	194
E.	Rules for Access--League of Nations, FAO and Unesco Archives	197
F.	Society of American Archivists--Standards for Access to Research Materials and Statement on Their Reproduction	201

FIGURES

1	Monthly Statistics Worksheet	202
2	Record Survey Form	203
3	Schedules--sample pages	204
4	Transfer Forms	207
5	Accession Control Sheet	209

BIBLIOGRAPHY OF PUBLISHED WORKS CITED OR CONSULTED 210

INDEX 213

1. INTRODUCTION

1.1 Initiation of Project

1.1.1 As part of its Records and Archives Management Programme (RAMP), Unesco's Division of the General Programme (PGI) contracted with the International Council on Archives (ICA) in 1981 for a study regarding Records Management and Archival Systems and Services in United Nations Agencies. It was specified that the study should take into account the final Report and Recommendations of the Expert Consultation on the Development of a Long-Term Plan for Records Management and Archives Systems and Services in United Nations Agencies held in New York City, 17-19 October 1979, as well as the various working documents, reports and recommendations of the ICA Section of Archivists of International Organizations, which was organized in 1976.

1.1.2 This Expert Consultation was third in a series of consultations convened in 1979 by Unesco in cooperation with ICA. The first, held in Paris, 14-16 May, considered the broad range of interests and activities envisioned in the overall RAMP proposal. The second, held in Bari, Italy, 3-5 September, was responsible for the development of a long-term plan for the preparation of archival and records management guidelines, standards and norms within the RAMP programme. The participants recommended a list of guidelines and standards, with priorities for each, and urged that the preparation of the guidelines be given overall priority within the framework of RAMP because of their underlying importance to the entire programme.

1.1.3 The third Expert Consultation focused specifically on United Nations agencies, and was composed of experts, serving in their personal capacities, from United Nations headquarters in New York and Geneva, Unesco, the International Atomic Energy Agency (IAEA), and the United Nations Development Programme (UNDP). The consultants agreed that guidelines and standards for United Nations

institutions should basically follow the list adopted at the Bari Expert Consultation, with adjustments to accommodate the particular characteristcs and needs of international organizations. The Bari Consultation had divided guidelines and standards into the following categories: institutional, functional, technical, and professional. For practical reasons, a number of specific proposals that had been made under each of those categories have been merged in this study, but in general the sequence of topics has been followed.

1.2 Objectives

1.2.1 The goals of the RAMP programme are:

(a) To promote and assist in the creation of a full awareness and understanding of the value and usefulness of records and archives as basic information resources, particularly in relation to planning and development and in conjunction with other information resources; and

(b) To assist...in the organization and development of the records management and archival systems and services necessary for full and effective utilization of these basic information resources. (Document PGI-79/WS/10, p.14)

1.2.2 As applied to United Nations agencies, this study with guidelines is intended:

(a) To encourage and assist them in gaining management recognition and staff acceptance of a coordinated programme of records management and archives administration with a professional staff responsible for administering records throughout their complete life cycle from creation to disposal.

(b) To emphasize, in planning and budgeting, the practical value of records management as a tool for operational effectiveness through improved quality and usability of records and archives and through avoidance of unnecessary costs due to wasted time, materials and prime space,

duplication of effort, and lost records or mislaid files resulting from inadequate practices.

(c) To contribute to the harmonization, insofar as practicable, of records management and archival techniques and procedures among United Nations agencies, particularly with regard to functions common to most or all agencies.

(d) To promote cooperation in matters of common interest, such as exchange of technical expertise; development of training courses for records management and archives professionals and paraprofessionals; and preparation of training materials, including audiovisual aids, for use in indoctrinating programme and operational staff.

(e) To set goals and provide models for the basic components of an integrated records management and archives system.

1.2.3 The application of professional records management and archival principles and techniques, as well as the prevalence of similar types of records, particularly those in the administrative sector in most agencies, point to the feasibility of harmonization of certain types of records and archives systems among United Nations agencies. Agencies with more developed systems can give technical assistance, serve as models for newer or smaller agencies, and bolster efforts to gain management recognition and adequate budgeting, staffing, and facilities. Although attempts to impose uniform procedures on agencies having widely divergent functions, size, operational goals and degrees of openness to public scrutiny would not be feasible across the board, an awareness of the crucial importance of records can be instilled throughout the UN System that can be expected to bring tangible benefits in efficient administration and expanded utilization of those information resources.

1.2.4 The Guidelines will attempt to focus on those elements of records management and archives administration programmes that will encourage and promote

improvement in recordkeeping within agencies in the UN System. The thrust will be on concepts and recommended policies and procedures, with reference to selected practices used in certain agencies or several agencies, so that general principles can be adapted to fit each agency as relevant. The aim will be, as indicated at the Expert Consultation in New York, to set optimum rather than minimum goals and standards so that agencies can proceed as the situation allows step by step toward ultimate goals.

1.3 Procedure

1.3.1 The first step in the preparation of this study was to prepare an outline patterned on the list of guidelines and standards adopted at Bari, as modified by the Expert Consultation in New York. This outline was incorporated in a questionnaire requesting information and relevant samples about agency status with respect to each item listed and on suggested priorities.

1.3.2 The questionnaire was sent to 32 United Nations agencies by the Chairman of the Section of Archivists of International Organizations of ICA on November 23, 1981; a reminder, when necessary, was sent on February 5, 1982. Responses were received from 13 agencies. In March 1982, the author visited UN agencies in Paris, Geneva and Vienna, both those which had replied to the questionnaire and those which had not, in order to gain a better insight as to their organizational status, procedures and problems. Discussions were also held with agencies in New York in early 1982 and, as necessary, with those in Washington, D.C. Altogether, 24 UN agencies contributed in writing, verbally, or both, to the information gathered for this study.

1.3.3 A progress report on the study was given by the author at the Eighth Session of the Section of Archivists of International Organizations of ICA, hereafter referred to as ICA/SAIO, at UN headquarters, New York, 4-6 May, 1982.

1.3.4 The format for presentation of each topic in Chapters 2 to 5 is as follows: the current situation is described, problems and alternative solutions

are discussed, with reference to certain representative agencies consulted for this study, and a number of specific conclusions or recommendations are made. Whenever possible these subdivisions are designated by topic subnumbers ending in 1, 2 and 3, respectively. The Guidelines in Chapter 6 summarize the conclusions under each topic in the foregoing text and are presented in numerical order, with reference to the relevant numbered section of the text. The Appendices and Figures reproduce directives and forms used in various agencies. Finally, a bibliography, annotated as necessary, is given of publications cited or noted.

Throughout the work, archival and records management terms used and the definitions given them are based upon the draft "International Glossary of Archival Terminology," prepared by ICA in cooperation with Unesco and scheduled for publication later this year by ICA. Organizational units are referred to by functional names because of the wide differences in structure and titles among UN agencies. Because of possible ambiguities in the concept and use of basic terms, arising from differences between European and American usage in a number of agencies, dual terms have been used throughout this study, i.e., "records management and archives," "records manager/archivist," and "record centre/archives."

The author is indebted to Dr. Alf M.E. Erlandsson, Chairman of the ICA/SAIO, Dr. Markku Jarvinen of Unesco and, particularly, to Dr. Frank B. Evans of Unesco for their advice and unfailing assistance in gathering information for this work and in reviewing the manuscript. A list of archivists and records managers in UN agencies, who were consulted and who returned questionnaires, or both, is given in Appendix A. In the text, those organizations are referred to by their acronyms, also shown in the list. Their cooperation in this work has been of inestimable value.

2. GENERAL REQUIREMENTS FOR AN EFFECTIVE RECORDS MANAGEMENT AND ARCHIVES PROGRAMME

An institution cannot exist without records. It is at one and the same time producer, collector, user and protector of its recorded information. A substantial part of every agency's budget is spent, directly or indirectly, for that purpose. Yet the misconceptions and indifference with which many agency officials view the management of record resources often result in an incalculable waste of time, human effort, materials, space and money that would astonish them if they realized its extent and implications. A comprehensive programme encompassing the full scope of an agency's records and archives and taking into account their many types, characteristics and variations in use--current and potential--is the foundation on which an agency must rely for deriving the most effective use of its information resources and for achieving economy and efficiency in the process.

This chapter deals with the elements of an agency records management and archives programme, beginning with the initial delegation of authority from the executive head of the agency to the records manager/archivist and continuing with supplementary directives, guides and instructions; the means of active cooperation with collateral functions that affect records; the organizational placement and status of the Records Management and Archives unit; the recruitment and training of qualified staff; the orientation of agency staff who create and use records; and the compilation of data on records activities.

Subsequent chapters will take up in more detail specific functions and activities that are components of the overall programme.

2.1 POLICY AND PROGRAMME DIRECTIVES

2.1.1 General Order and Regulations

2.1.1.1 The basic directive governing archives of the United Nations is a Secretary-General's Bulletin (ST/SGB/158, 28 July 1977), which prescribes the authority and responsibility of the United Nations Archives, the meaning and

scope of records and archival material, and their inviolability. This statement is expanded in Administrative Instruction ST/AI/252 (28 October 1977), which also authorizes the Archives Section to "set standards" for the archives of Secretariat units away from headquarters, including the UN Office at Geneva, regional commissions, UNCTAD, UNIDO, UNHCR, UNRWA and information centres, and provides for the transfer of records of closed offices to the Archives Section after consultation with the office concerned; the Section is also authorized to provide "archival guidance" upon request to other organizations, such as UNDP, UNICEF and UNITAR. (See Appendix B)

In the specialized and associated agencies, basic authority is generally set out in their respective Administrative Manuals (e.g., FAO, IAEA, IMF, Unesco, WHO, World Bank), which establish responsibility, in varying detail and scope, for current records and archives, specify their inviolability, define relevant terms, and provide instructions on related matters. Some Manuals also cover procedures for mail and communications, "active" and "inactive" files, transfer of semicurrent and noncurrent records, and procedures regarding access to records and archives. Others include schedules for the principal common types of records, as well as main headings of a standard subject file classification system (when appropriate), while still others specify regulations for the security classification, downgrading and declassification of archives and procedures regarding special types of files.

Many UN bodies do not have separate directives regarding records and archives and can only refer to those issued by UN headquarters, which may not contain guidance pertinent to their particular situation. Often, existing directives--particularly Administrative Manuals--lag behind current organizational, policy and procedural changes; this tends to derogate in the minds of staff the importance of these manuals so that they are not regularly consulted. The importance of keeping such information up to date cannot be overemphasized.

2.1.1.2 Basic directives, as described above, are supplemented by subordinate issuances, such as Correspondence Manuals, Secretaries' Handbooks, Records Manuals, and Field Office Manuals, which provide detailed instructions and procedures. It appears that records management and archives staff in most agencies have been diffident or reluctant in aggressively taking action under the responsibility delegated to them.

The lack of a definitive and enforceable agency directive can result in the irreparable loss of valuable records and in the loss of timely access to staff in other offices of relevant information (sometimes causing duplicating work), resulting from the failure of the staff primarily concerned to transmit through Registry channels material that they may have received or sent directly and by unwarranted delays in transferring semicurrent and noncurrent records to the record centre/archives.

2.1.1.3 Consequently, each agency should issue, within its formal series of executive or administrative orders, and keep current as necessary, a directive setting forth communications, current records and archives procedures. After its initial distribution, the directive should be given to all new staff and should be brought periodically to the attention of all staff as a reminder. The directive should contain:

(a) Definitions of basic terms, namely, records, stages in their life cycle--current, semicurrent and noncurrent--and specific exclusions from that definition--ephemeral or transitory and nonrecord; archives; record centre/archives; records management, including schedules, transfer and disposal.

(b) Designation of officers charged with responsibility for communications, records management, registry or current records, and archives.

(c) Statement of the inviolability of records and responsibility of staff for mandatory transfer of records to the record centre/archives.

(d) Regulations regarding responsibility of staff with respect to the safekeeping of records and prohibiting disclosure of information received in an official capacity.

(e) Definition of prescribed categories of security classification, with designation of officials or classes of officials authorized to assign those classifications; regulations for distribution, access and safekeeping of each category of classified documents; criteria for downgrading (if appropriate) and declassification when the need for security has diminished or is no longer required; and procedures for handling security-classified material received from other organizations in the course of business.

In developing such a general directive, reference should also be made to the study of model legislation and regulations currently under way within the RAMP programme.

2.1.2 Correspondence Manual and Secretaries' Handbook

2.1.2.1 The United Nations Correspondence Manual serves headquarters and many UN organs as the standard for style practices and procedures for the preparation and processing of correspondence, memoranda and certain types of documents. Certain of these bodies issue their own supplementary rules (e.g., UNDRO). Usually specialized agencies and similar agencies have their own manuals, variously entitled Correspondence and Documents Guide, Secretariat Manual, Secretaries' Guide, etc., and some have both a Correspondence Manual and a Secretaries' Handbook, which are geared to the agency's needs.

These manuals contain detailed instructions, with copious illustrations, of the prescribed format for letters, memoranda, cables and telex messages, and documents, with procedures for preparation, clearance and signature, translation (when required), and an indication of the number of copies to be made for each type of communication and issuance, routing instructions and assignment of reference symbols to outgoing communications (if appropriate). They also contain

related information on handling correspondence and files, and approved style and editorial practices, such as official addresses, names of countries, preferred spelling, footnotes, capitalization, underlining and punctuation. Instructions on records practices sometimes include directions for organizing office files, routing of information copies, transfer of files, and similar procedures.

2.1.2.2 Responsibility for the compilation and issuance of these manuals and handbooks sometimes rests primarily with Personnel, Training, Documentation, or Administrative Services units, so that the Records Management and Archives unit is apt to be overlooked or slighted during the drafting stage. Since such manuals become the handy "staff bible" for secretaries and staff who prepare correspondence and documents on a day-to-day basis, it is essential that the Records Management and Archives unit insist on full participation and that relevant instructions regarding records be included alongside instructions for preparing correspondence, such as standard copy sets for letters, telexes and inter-office memoranda indicating the purpose of each copy--record, chronological, information, etc. Brief explanations of the rationale of required correspondence procedures and the necessity for keeping systematic current files can help secretaries and other staff involved to understand the advantages of adhering to those practices and thus enlist their cooperation in carrying out effective records management practices.

2.1.2.3 It is concluded that:

A Correspondence Manual and/or Secretaries' Handbook (or their equivalent) is an essential guide for ensuring consistent and systematic preparation and processing of communications and documents in all agencies. In the absence of a manual distinctly tailored for agency use, the United Nations Correspondence Manual should be the model to be followed insofar as it pertains to agency needs. These guides should be cited in the agency Administrative Manual as the authority for detailed procedures.

Manuals should also describe sources from which staff may seek additional often-required information of all types. Insofar as feasible, instructions should be included on filing procedures, arrangements regarding filing equipment and supplies, use of forms and form or guide letters, charge-out and closed file transfer procedures, and transfer of semicurrent and noncurrent records from offices to the record centre/archives.

2.1.3 Records Manual

A Records Manual is the medium used by some Records Management and Archives units to present in convenient form a concise description of their various services and procedures, together with other relevant information that may not otherwise be readily available, such as the basic directive on records and archives; the centralized file classification plan with explanatory comments and relative index (when applicable) or outlines of major decentralized programme filing plans in which there is a community of interest; selected correspondence and registry practices; guidelines for retention of common types of accumulations in offices, including working and convenience files, office administrative files, publications and documents; and reference to other relevant sources of information within the agency. Schedules are usually omitted because of their bulk and detail. Examples of manuals and separate statements describing the work of records units are FAO's "Guide to Registry Operations," IMF's "Central Files, Documents, Records Services: A Guide to the Records Division," and UNDRO's descriptive circular on its Registry and Mail Unit and its "Introduction to the Subject Classification Manual."

Records Manuals are especially useful when information in the Administrative Manual and Correspondence Manual does not provide a complete description of available services and procedures or when the statements in those manuals are not presented from a functional standpoint or are not current. When handed out to new staff entering on duty, along with other indoctrinational material, the Manual calls attention to matters that the staff member needs to know immediately without waiting for regular orientation sessions.

2.1.4 Field Office Manual (see also Sec. 2.4 Field Offices)

2.1.4.1 The United Nations Field Administration Handbook, issued by the UN Field Operations Service, Office of General Services, contains sections on Files and Records and Records Retention and Disposal, which describe in detail procedures to be followed in the field and, correspondingly, at headquarters. Appendices include facilitative documents and models of filing accessories as well as a copy of the form for disposal of records. It has been noted, however, that disposals in the field have not been notified to the Archives Section as directed. Field manuals or the equivalent are also issued by a number of specialized agencies and UN bodies.

2.1.4.2 In WHO, a central classification plan for correspondence and records in Regional Offices is being prepared by the Records Management Service and a manual will be issued in due course. This will replace the separate filing plans and procedures developed independently by the Regional Offices or WHO programme coordinators, which are now in use.

2.1.4.3 It may be concluded that agency responsibility for the control of records located away from headquarters should be clearly defined in agency procedural documents, particularly in Field Manuals, which should contain:

(a) procedures for handling communications, including telexes, cables and telegrams, and the pouch service;

(b) procedures for maintenance of current files and other informational material kept for reference;

(c) procedures for transfer to storage areas of material not required for current reference until such time as it can be destroyed as having no further reference value;

(d) authorized schedules for disposal of recurrent record series, as agreed by the Archivist and the head of the Regional Office, and regulations for destruction upon expiration of the agreed retention period;

(e) transfer to the headquarters Archives of records deemed to have probable archival value when no longer needed at the local or Regional Office;

(f) procedures for reporting to the Records Management and Archives unit on disposal actions and proposals for additional schedules or transfers.

The Records Management and Archives unit should be responsible for preparing relevant sections of the Field Manual, for keeping that information current, and for assessing the effectiveness of established procedures on the basis of the receipt of excerpts from field inspection reports and disposal forms received from the field offices.

2.2 ORGANIZATIONAL RELATIONSHIPS

2.2.1 Location of Communications, Records Management and Archives Functions

2.2.1.1 In most United Nations agencies, the communications, registry and archives (including records management) functions are located in the General Services or Administrative Services sector. Notable exceptions are the ITU, where the three functions are combined under the executive head (the Secretary General's Office) and the IMF, where the Records Division and the Communications Division are both under the Secretary's Department. In both instances, the organizational location has proved mutually advantageous. The Records Management and Archives unit has broader and more current access to policy records, and responsibility from the beginning for formal instruments and formal actions by Member States, secretariat documentation and similar records of permanent value. At the same time it is in a position to provide reference services and undertake special assignments in close association with the department to which it reports, thus having direct exposure to certain agency activities at the policy level.

In Unesco the responsibility for current records and archives is divided: the Registry Division, General Services Bureau, is responsible for mail management and for decentralized registry files under central control

(i.e., official correspondence on programme matters) which are scheduled for transfer to the Archives, with related index, in 10-year increments. It also provides advisory services for office files, on request, and conducts file audits as necessary. The Archives Section, Division of Library, Archives and Documentation Services, is responsible for management of all Unesco archives, including formal instruments, documentation and publications, sound recordings, subject files transferred from the Registry Division, administrative files transferred directly from the administrative and programme support sector, and archives of offices away from headquarters. In addition, the Archives Section is responsible for establishment of schedules for transfers and disposals in collaboration with the offices concerned. Both the Registry and Archives units are involved in the management of semicurrent records: the Registry receives closed project and subject files for custody, indexing and weeding to hold until time for transfer to the Archives; Archives receives other semicurrent material directly as described above. In carrying out their respective functions, both units have authority to inspect current records in offices.

Communications services--mail, pouch, telex, cable and telegraph and, where appropriate, facsimile transmission--are a part of the Records Management and Archives unit in some agencies and a separate unit in others. For example, IAEA, ILO, ITU, WHO and a number of small UN bodies have combined units, while the United Nations headquarters in New York, the IMF and the World Bank have separate but coordinate units within the same organizational sector. In some agencies, the Communications unit also includes other responsibilities, such as telephone, copying and messenger services. This has proved to be a time-consuming distraction from their essential functions. Size of the agency, volume and type of communications, and the complexity of modern telecommunications systems used are major factors in determining the most efficient structure suitable to an agency. When Communications is separated from Records Management and Archives, however, it is imperative that a buffer administrative level not be created to coordinate

the two units. The intervening layer of authority would only diminish the status of both units without contributing to the technical proficiency of Communications or the intellectual and informational skills required for Records Management and Archives.

As it is, Registry and Archives (including Records Management) functions often occupy a subordinate organizational position, especially in smaller agencies, which reflects the low esteem accorded that function. In some cases a Registry and Archives unit is relegated to a third echelon under a General Services or Administrative Services Section (or Building Management and General Services Section) within the overall Administrative Division, and carries the title of "Unit." In some organizations, combined records management and archives functions constitute a Section; in a few, a Division or Service, so that each component function has Section status. Since titles of operational units have different meanings in various agencies, comparisons do not necessarily reflect the actual rank within the hierarchy. However, an inferior status impairs the effectiveness of those functions from the standpoint of personnel standards, adequate budgetary resources, and equivalent authoritative status in matters requiring peer collaboration with other organizational units and with regard to intellectual as well as administrative matters.

2.2.1.2 A recommendation adopted at the Fifth Session of the ICA/SAIO (Brussels, 16-18 June 1980)[1/] stated that "archives and records management and its custodial functions...should...be attached as directly as possible to the office of the executive head of the organization, where an overall view of activities may be obtained, with a view to investing those functions with the authority, independence, impartiality, and confidentiality essential to their successful

1/ Report of Fifth Session, ICA/SAIO. Appendix IV, "Standards for Archives and Records Services: General Principles Governing the Setting Up and Effective Working of Such Services in International Organizations."

discharge," and went on to point out that "maximum efficiency will be achieved only by ensuring that the management of active and semiactive records is linked directly with archives management under the direction of a chief highly qualified and experienced in the archives and records management field who will thus be enabled to avoid unnecessary proliferation of records and to control the records from the time of their inception onwards...."

At the Fourth Session of the ICA/SAIO (Geneva, 10-12 September 1979), recommendations were adopted asserting that responsibility for the management and custody of records of an organization "must be invested with the necessary authority, identity, responsibility, professional competence, and resources for the effective performance of archives and records management work, and should be placed in the administrative hierarchy of a secretariat at a point which makes clear its vital administrative and historical role and professional quality and does not depreciate its importance by assimilating or subordinating it to maintenance, mailing and routine housekeeping functions not calling for the professional skills of archives and records management." (Report of the Session, par. 35-36)

2.2.1.3 It is therefore clear that Communications, Registry and Archives or at least the Registry and Archives functions (which include records management) should be brought together under a single authority and assigned status collateral with other major informational services and separate from routine administrative services. In that respect, the Records Management (which is replacing Registry in UN agency usage) and Archives unit should receive recognition as an intelligence or informational service, rather than solely an administrative service.[1/]

1/ Inter-Organization Board for Information Systems. Planning for the Implementation of New Information Systems Within the Organizations of the United Nations. Geneva, IOB, 1981, pp. 17-18.

When for practical reasons, the Communications unit, which is essentially an administrative function, is separated organizationally from the Records Management and Archives unit, both should be under the same organizational sector to facilitate essential coordination of procedures, but not jointly administered by an intervening level of authority established for that purpose.

2.2.2 Registry and Archives

2.2.2.1 Registry is the term generally applied to the unit which is responsible for current records, particularly in organizations where the function is based on the European registry system. Archives is the term applied to the unit which receives, appraises and manages noncurrent records deemed to have long-term or permanent value. In its modern application, it also may include records management responsibilities, including scheduling, transfer and disposal of semicurrent records.

2.2.2.2 As defined in a Working Paper on "Relationships Between Registries and Archives Services," prepared for the Fourth Session of the ICA/SAIO (Geneva, 10-12 September 1979), a Registry refers in most United Nations organizations to "a central administrative unit which opens and reads the daily incoming mail, registers it, and proceeds to its indexing and routing; under procedures varying in complexity from one organization to another, this unit also treats outgoing mail at the point of dispatch." In some secretariats the Registry manages and has custody of all the organization's files; in others it prepares the files classification system, opens new files and often classifies and indexes incoming material, but the files are kept in decentralized locations. In certain larger secretariats, files management is delegated to "branch registries" or decentralized "file stations," under central control.

That Working Paper added that the term "Registry" is also sometimes used to denote the unit responsible for registration or sorting and distribution of mail

unaccompanied by central control, by that unit, of file custody and management. In other organizations the central unit for mail receipt and dispatch without registration or file management responsibilities may be referred to as "Registry," although more frequently it is called the "Communications" or "Mail" unit. The Archives service's responsibilities were detailed by the Working Paper as "to take into custody files no longer administratively active; to determine under clearly established procedures the retention periods of different categories of papers and extract from what it receives that part which is of historical value and worthy of indefinite preservation; to create the finding aids and draw up the rules which ensure organized archives and enable access."

The division of responsibility for current, semicurrent and noncurrent records is not always clearly differentiated. A number of registries remain encumbered with both semicurrent and noncurrent records. Some organizations without registries in the fuller sense of the term send both semicurrent and noncurrent records directly to the Archives service. Yet others have inserted at the semicurrent stage a separate record centre service.

In the course of this study, the heads of a number of Records Management and Archives units decried the lack of a trained and experienced Archivist on their staffs to appraise transferred records and to initiate additional transfers and disposals.

2.2.2.3 Within a comprehensive records management service, responsibilities should be divided along the following lines:

1. Communications (sometimes separated organizationally but always closely coordinated functionally):
   (a) Sorting, opening, and routing of incoming mail according to a standard pattern or by special arrangement with the offices concerned.
   (b) Logging and date-stamping of specified types of mail.
   (c) Managing pouch service, incoming and outgoing.

(d) Photocopying information copies of substantive mail for distribution according to agreed patterns and retaining a verification copy for about one year.

(e) Operating telex, cable and telegraph, and facsimile transmission services.

(f) Processing outgoing official mail, including dating or checking of date; checking signature, enclosures, address, etc., affixing postage indencia; dispatch; routing of record and other file or information copies.

2. Registry (current records):

(a) Establishing and upkeep of appropriate file classification plans for policy and programme files according to a centralized, decentralized or designated file station system, as appropriate.

(b) Preparing indexes and finding aids to current files as necessary.

(c) Maintaining files located centrally or in designated file stations and monitoring decentralized files maintained by office staff.

(d) Giving advice and assistance, upon request, to offices concerning files arrangement, rearrangement, and finding aids.

(e) Alerting records management and archives staff to semicurrent and noncurrent records that appear to be eligible for transfer.

(f) Closing registry or file station files of semicurrent records for transfer to the record centre/archives; integrating into the regular files significant material received from convenience files that had not been processed through the registry, and weeding material of transitory value.

3. Record centre/archives (semicurrent and noncurrent records):

(a) Preparing accession reports for material transferred to its custody and making preliminary appraisals preparatory to boxing, labeling, and storing new accessions.

(b) Preparing schedules for recurring records and disposal lists for particular accumulations, in agreement with the offices concerned.

(c) Inspecting office records as necessary to make recommendations regarding holdings of semicurrent and noncurrent records and in response to requests for additional equipment.

(d) Conducting general file surveys periodically to itemize and assess agency holdings, and undertaking ad hoc surveys on request to promote files improvement.

(e) Managing repository for semicurrent records having continuing value for varying periods, including servicing of requests and final destruction of the material after the expiration of agreed retention periods.

(f) Arranging archives to facilitate access, when necessary, and taking action relating to their preservation and use, including preparation of finding aids, microfilming, restoration of damaged records, arrangements for exhibits and publications, and research services.

2.2.3 Archives and Libraries

2.2.3.1 In most United Nations organizations, with the notable exception of the IMF, the ITU, Unesco and the World Bank, the Library has custody of the "printed archives." This includes a set of all printed (including mimeographed) documentation, publications and general internal issuances of the agency, for which the Library provides custodial, bibliographic, reprographic and reference facilities.

Dependence on the Library for preservation and accessing of printed archives separates that material from the related documentation which is held in the archives repository, from internal issuances and directives which are often subject to administrative privacy or which have been given limited circulation, and from related reports and staff analyses, which may have historical interest

but have not been issued as official documents. Thus, the researcher may be left with a false sense of completeness regarding his research.

There is also a risk in allowing internal directives and manuals to be available in the Library, as librarians are used to dealing with publically available material and are therefore not always aware of differences inherent in personnel, financial and other administrative instructions prepared for staff use and normally made available outside the agency only under controlled arrangements with counterparts in other agencies on an exchange basis, and with regard to other restricted material the release of which may cause embarrassment to the agency or its staff. Such material should not, of course, be sent to the Library, but when transmittals are on an automatic basis the probability of inadvertent distribution cannot be ignored.

2.2.3.2 The essential difference between archives and libraries is often not recognized or understood because, whereas nearly everyone is familiar with libraries from educational and cultural experience, relatively few people have had occasion to use or be consciously concerned with archives. A common bond between archives and libraries is their shared purpose to acquire, preserve and make information, in the form of documentation, available. The origins, character and use of archival information, however, require the application of different principles and techniques from those applying to other types of documentation.

By way of comparison, library resources, with certain exceptions, have been defined as "the published product of intellectual activities intended mainly to serve cultural purposes."[1/] Libraries, as collecting agencies, generally select this material, usually discrete items that are replaceable, from a wide variety of existing choices in accordance with an adopted or prescribed acquisition policy which can be adjusted to fit changing concepts or circumstances. Acquisitions are usually by purchase or gift, and any restrictions on their

1/ Bahmer, Robert H. "Archives," in Encyclopedia of Library and Information Science. New York, Marcel Dekker, 1968- , Vol. 1, pp. 515-19.

accessibility are usually self-imposed. Holdings are customarily organized by use or adaptation of a standard library classification system or, occasionally, by a freely-invented system. Since the significance of discrete published items is not dependent on organic or functional relationships with other items, libraries generally employ a standardized technique for item description to achieve physical, administrative and intellectual control over their holdings.

Archives, on the other hand, are created and accumulated in the course of conducting the agency's business and, therefore, archives repositories are receivers of natural accumulations of documentary material. Archival material has an organic character in that the identification and significance of individual items are dependent on organizational, functional or physical relationships to other items in the total body of documentation. As they are primarily intended to serve functional purposes, they are unique and largely unpublished except insofar as specifically authorized for disclosure by the organization that created them. Archives also have an official and legal character which makes them essential to the preservation and protection of the legal rights of the organization and of other organizations and individuals that come within the scope of its activities.

Archivists select aggregates of records that should be preserved through the process of appraisal of their retention value, based on a study of their functional purposes, relationship to other records, physical arrangement and content. Since the alternative to retention is destruction, decisions are irrevocable. Accessions of archives may also be subject to restrictions on access and use imposed by the organization. The arrangement of archives is based primarily on the "principle of provenance," also known as respect des fonds, i.e., maintaining the natural archives bodies of creating agencies or offices separately from each other, and following through to every level of accumulation from the record group, the subgroup, the record series, the filing unit and the item within the filing unit. Application of that principle of arrangement has

also resulted in the development of techniques for the collective description of archives as discussed in Sec. 5.4.

The Report of the UN Expert Consultation in New York noted that "archives and records management on the one hand, and library science on the other, being distinctly different disciplines with different materials for which they are responsible and with staff receiving necessarily different training, it is strongly recommended that archives and records management systems and services should not be merged with, subordinated to, or integrated with any library or general information service."[1/] At the present time, except for library responsibility for printed archives described above, archives services are organizationally separate from library services within the United Nations System, with the exception of Unesco and of the League of Nations Archives, which is part of the Library of the United Nations Office in Geneva.[2/]

A popular misconception regarding archives and libraries is revealed in a publication on information systems that designates films, slides, maps and similar "nondocumentary collections" as library resources rather than as archival resources.[3/]

2.2.3.3 The conclusion is that the Archives should be the proper repository for all official documentation destined for permanent retention, including official or record sets of printed or processed documents and proceedings, publications, and internal issuances. As a practical matter, however, the Library should also retain copies of published documentation which is accorded public access on the same basis as other library holdings. Bibliographical listings and finding aids should be prepared by both Archives and the Library in accordance with their

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1/ Unesco. Expert Consultation on the Development of a Long-Term Plan for Records Management and Archives Systems and Services in United Nations Agencies, New York, 17-19 October 1979. Final Report, par. 15.3(i).

2/ Erlandsson, Alf M.E. "The Relations Between Archives and Libraries Within the UN Family." Second World Symposium on International Documentation, 20-22 June 1980, Brussels, pp. 8-9. (UNITAR/AIL/SYM.2/WP.IV/5)

3/ Inter-Organization Board for Information Systems, op. cit., pp. 17-18 and 27-28.

respective needs, but there should be cooperation as necessary to avoid duplication and overlapping.

2.2.4 Secretariat Documentation

2.2.4.1 The status of archival sets of secretariat documents, i.e., the proceedings or summary minutes and documents of the various boards, conferences, committees and similar corporate bodies of the organization, differs among UN agencies. In some agencies, the originals, containing evidence of approval and indication of changes and comments during the clearance process, are retained in series order initially by the Conference Services unit or Documents Service and are transferred to the Archives after a designated period. In others, the printed archives retained by the Library is considered the official set, and only a microform set, if available, is kept by the Archives. The UN Archives contains a master set of the originals (together with final printed copy) and a microfiche set, while a set of printed archives and microfiche is in the Documentation Section of the Library. In Unesco the master set of documents, as well as a microfiche set, is maintained in the Archives, while the Library holds only copies of publications and a microfiche set of documents. In the World Bank, the archives set of documents of the Executive Board, which are not available outside the organization, is maintained by the Secretary's Department as an "Executive Directors' Library," and is indexed but not as yet microfilmed. The IMF, which has responsibility for distribution of documents, maintains the archival set of the originals, filed with corresponding printed copies, prepares subject indexes, and currently microfiches all series (earlier years are on roll microfilm as prepared for the vital records programme). The IMF/World Bank Library does not hold printed archives, only reference copies of general publications.

At UN headquarters, the Publishing Division of the Department of Conference Services is responsible for production and issuance of documents. Documents and publications in all languages from throughout the UN System, except for some restricted documents, are deposited in the Documentation Section of the Dag

Hammarskjold Library at headquarters. The UN Library at Geneva acts as a second depository of most UN documentation. Both libraries compile numerous indexes and lists, covering all UN material received, in addition to those relating to other library holdings. Also, certain regional commissions, such as ECE, and operational bodies, such as UNIDO and UNCTAD, put out checklists or indexes of their own material, as do a number of specialized and similar agencies.

2.2.4.2 The political nature and purpose of the United Nations is reflected in its extensive documentation and publications which are disseminated worldwide by sales and subscription as well as by a large complimentary distribution to depository libraries and other international organizations, and through library exchange arrangements. The Dag Hammarskjold Library's bibliographical service acts as an arm of the UN Sales Section to provide access to the contents of that material for cultural purposes, as well as to serve institutional needs. However, a library is not intended to preempt the functions of the archives of a UN agency nor is a library intended to be used to relieve an agency of the responsibility for providing adequate facilities for its archives.

Thus, until an agency has an established archival repository with professionally trained staff to provide the necessary services, the documentation archives, including the official collection of publications and issuances, must reside temporarily in the Library, where they should be kept in accordance with archival standards. The Library's own sets of such material should be designated "reference sets," in view of their use and similar treatment to other library resources, including binding and cataloguing. A notable difference between archives and library sets is that the former are kept, according to provenance, individually in documents boxes or fastened loose-leaf in flat binders for ready access, photocopying (which is preferable to photocopying pages in bound volumes), and insertion of addenda, whereas library material is bound to withstand heavy use and sometimes separate items or groups of documents are bound together for convenience for reasons other than organic relationship.

2.2.4.3 The following principles should be observed with respect to maintaining and preserving the documents and publications archives:

- The Archives is the proper repository of the official documents of an organization and of "official sets" of publications and issuances, which should be maintained according to archival principles. This deposit should be mandatory for all organizational units and staff responsible for their creation.
- The Library should acquire and retain copies or sets of agency documents and publications that are publicly available or for general use within the agency in the same manner as other library material. These should be designated "reference" copies.
- Finding aids should be prepared, as necessary, by the Archives and by the Library according to their respective standards. Library-produced bibliographical tools should contain references only to documents and publications that are open to the public or are generally available; any restricted documents should be separately indexed and made available only to those entitled to use the documents.
- Until such time as an agency Archives is established and in the absence of adequate centralized records facilities, the Library should retain master sets of printed documentation and copies of publications to ensure their preservation. Confidentiality and restrictions on use should be strictly observed, including refraining from general circulation of bibliographical information on restricted documents to other libraries, including those within the UN System.
- The Documentation Service or Conference Service, as appropriate, should retain the official set of current original documents, until their transfer to the Archives, together with available lists and indexes, according to an agreed schedule. When responsibility for current maintenance of official or record sets of documentation, both published

and restricted, and of master sets of publications is lodged with the Archives, that unit should initiate and prepare indexes and finding aids, geared to institutional reference needs, as well as for general research and cultural reference for public access as appropriate. Professional staff, trained in indexing and bibliography as well as archives, should be made available for that purpose.

2.2.5 Offices Generating Machine-Readable Records

2.2.5.1 There appears to be little or no liaison between Records Management and Archives units and most agency offices that initiate, produce and use machine-readable records, including data banks and computerized records concerning financial, personnel, statistics, research, and administrative matters.

Decisions concerning the form in which records are produced and maintained, and what happens to the original sources from which those records are compiled or extrapolated, are made by agency offices usually without regard to their future record value or their potential use by other offices. There is no assurance that the necessary background data will be available for reconstitution in an emergency, such as inadvertent erasure or damage to tapes, or to substantiate data when the data bases are changed, questioned or compared. Thus, the Archivist may be the recipient of computer printouts or magnetic tapes without adequate knowledge of the source material. On the other hand, decisions by the offices of origin to retain raw data indefinitely may be too conservative and based solely on the desire of technicians to protect their interests. Since the originator of records is seldom the ultimate user when the records become non-current, appraisal decisions should not be left solely to the originating office. It is therefore of crucial importance that the Archivist be aware, for appraisal purposes, of the coverage and method of compilation of computer-based records, their normal use and purpose, periodicity and relationship to similar compilations, especially those in printed form. With the increasing resort to computer-generated records, the Archivist must become actively involved at the design stage.

2.2.5.2 These matters were taken up at the Seventh Session of the ICA/SAIO held in Rome, 9-11 March 1981, in two Working Papers on "Archives as Recipient of Computer-Generated Records." The recommendations of that Session included recognition:

1. That, despite all the difficulties involved, the Archivist has to face the increasing implication of computer-generated records.
2. That the Archivist should cooperate closely with computer system managers to ensure the preservation of machine-readable records having potential archival value.
3. That the Archivist should participate directly in the choice of systems (COM, CIM, Optical Memories, etc.) and, particularly, in archival aspects, such as appraisal, exploitation, preservation and destruction.
4. That there is an urgent need for the recruitment of specialized staff necessary for the application of archival processes to computer-generated records....1/

2.2.5.3 Consequently, procedures for cooperation of the Records Management and Archives unit with services that create nontraditional records should be specified in a basic authority document (Administrative Manual or Administrative Instruction or Circular) providing for consultation at the design stage, rather than when the tapes or discs are awaiting appraisal and disposal. Those procedures should also ensure the preservation of software and other information required for review and reconstruction of basic data before they are inadvertently destroyed or their importance misassessed. Such consultation can assist in identifying compilations containing ephemeral or superseded data, and data existing elsewhere in another form or summarized over a longer term, to avoid unnecessary time and effort spent in tracing facts on which to base an appraisal decision.

1/ Report of Seventh Session, ICA/SAIO. ICA Bulletin No. 16, June 1981, p. 11.

2.2.6 Liaison with Services Having Related Functions

The Records Management and Archives unit shares interests and concerns with other institutional services regarding matters that directly affect records: procurement, regarding the selection of filing equipment and supplies for staff offices; building management, with regard to space, security and environmental factors; and budget and planning, editorial, or other services that have primary responsibility for the management of directives, forms, and reports (other than secretariat documentation). Standing arrangements for collaboration should be put into effect and actively pursued. When it appears that management of certain types of records, such as forms, directives and reports, or nonconventional formats, such as photographs, sound recordings, and cartographic records, are being neglected to the detriment of efficient administration and systematic recordkeeping, it is incumbent upon the Records Management and Archives unit to offer its services to coordinate relevant information and provide a suitable control system, at least as a preliminary measure. Whether or not this effort evolves into a continuing responsibility of the unit, it should improve the quality and effectiveness of the records, guarantee their systematic accumulation, and facilitate reference, scheduling and disposal.

2.3 INFORMATION INFRASTRUCTURE: FUNCTIONAL RELATIONSHIPS

2.3.1 The information infrastructure of UN agencies is usually dispersed organizationally as well as functionally--records and archives; libraries; special collections of subject matter and of documentation of other organizations gathered together for a specific purpose; secretariat documentation; reports and publications; data banks; film library; photograph collection; sound recordings library, etc. A few organizations have made an effort to collect information about these various sources and to make it available in a handy format. For example, the IAEA has a general brochure on its "Services and Assistance" which contains a section on information services, including scientific meetings,

publications services, library and documentation, computer services and film library; the World Bank Group has compiled a brochure listing offices having informational functions and resources and special collections of material available for reference and research.

2.3.2 It is difficult for a researcher to make sure that all possible sources of information are taken into account. The multiplying uses of automation for various purposes and the focus on information per se as a root source not necessarily related to where or how it is produced, accumulated or maintained, or its physical form, makes it necessary to have a central point for identifying, acquiring and assimilating information from widely scattered sources. The Records Management and Archives unit, therefore, is in a key position to be aware of the many sources of information within the agency from its overview of records systems, transfers and disposals, record surveys, and other direct relationships with offices.

2.3.3 Consequently, organizations which have diverse collections of data, separated administratively by type or physical characteristics and by location and technical requirements, should prepare and make widely available within the organization and, as appropriate, outside, a "Guide to Information Sources." This Guide should contain brief descriptions of each collection or body of information, with details on location, organizational unit responsible, nature of the resources and period covered, rules of access, and other pertinent facts. The Records Management and Archives unit should play a primary role as catalyst and, if feasible, compiler of the Guide. The unit should also participate in the coordination of restricted data extracted from agency records for data banks and automated management information systems, as a means of avoiding overlapping compilations by offices, unaware of similar initiatives by other staff, and of protecting sensitive or preliminary information from lapses in security.

2.4 FIELD OFFICES

2.4.1 The functions of a field office--whether it has operational responsibilities or whether it is an extension of headquarters activities with chiefly liaison functions--determine to a large extent the necessity for preserving its records. Those field offices that perform as listening posts and as representatives of the agency at meetings and conferences in the area are principally conduits for reports that are transmitted to headquarters and documentation received from headquarters, so their only unique records concern local administrative matters having limited continuing value, which are summarized in periodic reports to headquarters. Some field offices are required to send information copies of all programme correspondence and that reflecting relations with other organizations and member countries to headquarters.

On the other hand, field offices which are delegated authority to administer projects and dispense funds produce records that are unique and of possible archival value.

The status of field records in many agencies is often plagued by indifference and neglect, resulting all too frequently in physical deterioration and loss of valuable information needed for research and administrative continuity. Other agencies have developed policies for maintaining systematic control of archives. FAO, for example, arranges for periodic transfer of archival material from its Regional Offices to the headquarters archives as authorized by the Field Manual. As for files accumulated at the sites of projects, FAO has opted for sampling, i.e., the transfer to and preservation at the headquarters archives of the complete set of field files for a project in each geographical region. The project manager is authorized to destroy, after five years, personnel and accounting records and those relating to the acquisition of equipment.[1/]

1/ Fourth Session, ICA/SAIO (Geneva, 10-12 September 1979). Addendum (second) to Working Paper on "Records relating to technical co-operation--retirement and archival treatment at headquarters and in the field."

In Unesco, the Regional Offices hold their own archives for the most part. UNICEF, preparatory to developing common guidelines for its field offices on administrative matters, including records management, sent a questionnaire to Regional Directors in an effort to identify problems, highlight effective systems, and increase awareness by headquarters staff of realities in the field. After analysis of the replies, the project is under way, and the records management officer is making field surveys leading to preparation of a common classification plan and retention and disposal procedures.

2.4.2 In reviewing the status of field records, it has been noted that although it is often wise for headquarters to acknowledge that the head of a field office may be the best judge of how to run his office, headquarters cannot avoid a responsibility for archives policy, because once an office head has injudiciously destroyed records, his successors may be seriously handicapped and it may cause embarrassment to the agency. Project files in field offices are not duplicates of those held by headquarters; they contain considerably more material, notably correspondence with governments. The question arises as to whether files of historical or continuing institutional importance in the field should be transferred to headquarters after a certain time for preservation in the archives, instead of being left to the hazards of rats, leaky plumbing, and destruction by secretaries. The pressure for space for storage of noncurrent files and the dangers of deterioration are much greater in the field than at headquarters. Experience has shown that field offices are not likely ever to have the staff to arrange archival material to provide adequate access to researchers, who in any case would find it more convenient to consult the files at headquarters in association with related material.

The Report of the Fourth Session of the ICA/SAIO (Geneva, 10-12 September 1979) contained the following conclusions and recommendation on the subject of

records relating to "technical cooperation--retirement and archival treatment at headquarters and in the field":

(a) specification of the types of material to be earmarked for permanent preservation in the archives (see Sec. 4.3.1.1);

(b) continuing arrangements for elimination of records of ephemeral or limited value;

(c) representative sampling, within sets of files not preserved indefinitely; and

(d) adherence to the principle that organization files should not be turned over to governments or other external bodies, but that, in appropriate cases, purely technical papers, such as plans and specifications, may be extracted for their use from files earmarked for destruction.

It was further concluded that application of a file classification plan common to headquarters and the field could be indispensable, and that application of such a plan should provide for initial separation of papers of lasting value and those of ephemeral value; that existing indexes and other non-file records, such as fact sheets summarizing basic data, should be preserved indefinitely as finding aids and, where appropriate, the basic data should suffice as the permanent record, thereby facilitating destruction of the main files; and that destruction of field records on the spot should be performed only in the framework of precise headquarters directives.

2.4.3 In the light of the above considerations, general conclusions regarding field office records are:

- In appraising records of field offices, attention should be given to types of records duplicated at headquarters or at regional offices (with regard to subsidiary field offices and project sites) and material that exists only in the field.
- Headquarters and field files should, when appropriate, follow a common subject classification plan to facilitate reference, identify material

subject to destruction as authorized, and to cross reference related material; in some cases, a common classification plan for field offices may be preferable. In order to avoid unnecessary weeding, the classification and/or filing plan should specify that records of continuing value should be separated from those of transitory value at the time of initial filing.

- Technical cooperation records and project files located at headquarters and in the field are not wholly identical, so that material of continuing importance in the field, particularly communications with governments and other organizations, should be preserved when necessary to keep a full historical record.
- Material having--or suspected to have--archival value should be transferred to headquarters (or to designated regional offices when agency archives are dispersed) at intervals in accordance with instructions set forth in the Field Manual, together with transfer lists and existing indexes and finding aids. Final appraisal and arrangement and description of the material to ensure its accessibility and proper preservation should be performed by qualified archivists.
- Procedures for handling correspondence and records, including provisions for retention and disposal, should be described in detail in the Field Manual, and efforts should be made to keep those statements current and to follow up on adherence insofar as possible. (See Sec. 2.1.4.1)
- The Field Inspection Unit should include records practices in its purview, and pertinent parts of inspectors' reports should be forwarded to the Records Manager/Archivist for information, and, if necessary, action.
- At the request of a field office or the Field Inspection Unit, a Records Manager/Archivist from headquarters should be authorized, in conformity with agency policy, to make site surveys and recommendations for improvement of record practices and to initiate disposal authorizations and transfers of archives to headquarters.

- A reporting form should be circulated annually to field offices by the Records Management and Archives unit, requesting a list of record series destroyed in accordance with the schedules in the Field Manual, and proposals concerning additional semicurrent and noncurrent files awaiting disposal.

2.5 ARCHIVAL REPOSITORIES FOR ABOLISHED AND SUPPRESSED ORGANIZATIONS AND CORPORATE BODIES

2.5.1 Several agencies which have established archives facilities hold archives of external bodies. In most cases, these are predecessor bodies and international conferences that are directly related to the administrative history of the agency or its subject field. Sometimes, there is a crossover between archives of abolished agencies held in the League of Nations Archives and those held in the archives of active agencies, but each is aware of the other, and the relevant archives are available for research under prescribed rules of access. Occasionally, the archives of active bodies are held by agencies which serve as the secretariat or provide administrative services, such as the UN/FAO World Food Programme, which is lodged with the FAO Archives. Also, personal papers of individuals closely identified with an agency or its subject area have been deposited with the agency's archives. Many of these bodies of archives are described in the Guide to the Archives of International Organizations, Part I, The United Nations System.

2.5.2 The Expert Consultation on United Nations Archives agreed that "a study should be made concerning the possibility of reaching an agreement within the United Nations System to function as repositories and, when necessary, receive and maintain the archives of other institutions in case of abolition or suppression of the archives of such an institution or of the institution itself."1/

1/ Unesco, op. cit., par. 15.4.

This may involve two types of transfer: (a) archives of related bodies in which the UN agency has been a participant or sponsor, such as independent conferences, boards, committees or task forces, which were set up to perform a specific function and which went out of existence when that objective was completed; or (b) archives of suppressed bodies which have been rescued to prevent their destruction, dispersal or oblivion.

2.5.3 General conclusions are:

- United Nations agencies which have established archival facilities are the logical repositories for archives of abolished or suppressed organizations or bodies within their historical or institutional areas of interest. As a matter of policy, UN agencies should assume custody of such archives in preference to allowing them to be acquired by libraries, national archives institutions, or private organizations.
- When UN bodies or specialized and similar agencies which are recipients of or which have been offered archives of abolished or suppressed organizations do not have facilities--physical or professional--for their proper care, the UN Archives at New York headquarters should be called on for advice and assistance.
- That Archives should make arrangements for preliminary review and appraisal of the material, if necessary, in order to make recommendations for appropriate custody either at the headquarters archives or at another UN agency having suitable archival facilities, which has similar functional interests and resources or which is located in a region convenient to potential researchers.
- Necessary funding should be requested from appropriate UN authorities, or, if feasible, from foundations and similar outside sources which are concerned about the preservation of and access to historical records.
- In assuming custody of archives of abolished or suppressed organizations, efforts should be made to see that the legal and administrative

integrity of the organization is preserved, and that existing finding aids and documentation of the organization's administrative history are included when available.

- In the event of a disagreement among agencies in regard to custody of the archives of abolished or suppressed organizations, an inter-agency committee of archivists, chaired by the head of the UN Archives at New York headquarters (or Chairman of the ICA/SAIO, if affiliated with a UN agency), should be appointed to review the case and recommend a solution.

2.6 STAFFING, TRAINING AND ORIENTATION

2.6.1 Recruitment

2.6.1.1 Although most UN agencies combine registry with archives and records management functions organizationally, the traditional disparity between registry and archives staff in qualifications and status persists. In certain large organizations, such as UN headquarters in New York and Unesco, professionals are represented to some extent on the registry as well as on the archives staff; in the records management-oriented organizations, such as the IMF and the World Bank, professional grades reflect responsibilities and qualifications in a more integrated structure. On the other hand, in many specialized agencies and large UN bodies, only the head of the Records Management and Archives unit is a professional; in small bodies the head is at the General Service (GS) level. Thus, the unit, particularly in larger agencies, is handicapped in recruiting key personnel having broad-based understanding of agency functions and subject matter, specialized technical skills, and the capacity for planning and innovation that is needed to keep abreast of current developments.

For example, the position description for a GS 6/7 Senior Archives Clerk in one agency, who would be in charge of records management activities and the record centre/archives, specifies "very good educational background" and "several years experience in archives very desirable." This evades detailing the actual

qualifications needed, which--if assigned a professional grade--would be a university degree, specialized technical training in archives and records management or possibly some graduate work in history or library and information science, and at least three years relevant experience.

In UN agencies which have more than one working language, fluency in one working language and a general knowledge of another are required or specified as desirable. Often staff members, particularly in the Registry, have at least a smattering of proficiency in several languages so that correspondence can be processed with minimal reliance on official translation services.

Sources of recruitment are ill-defined as there is widespread misunderstanding about what an archivist does, what records management consists of, and what qualities are required for registry work. There is still a misconception among some agency administrators that a file clerk needs only to know the alphabet and that an archivist is the same as a librarian. In some agencies, the librarian, as custodian of the printed archives, is regarded as an archivist, so it is perceived that there is no need for another one. Thus the need for a bona fide archivist to exercise judgment as to the value of records, and make appropriate decisions about the length of time and manner in which various types and forms of records should be retained and made available for reference, in accordance with their functions and characteristics, is unrecognized and often ignored.

Registry staff is often recruited by promotion from messenger or similar clerical status. Supervisors generally rise through the ranks and codifiers are transferred from secretarial duties. Newly-created bodies or agencies generally recruit a head of registry or mail and records unit from another registry.

Archivists/Records Managers are often recruited from national archives institutions or from other organizations or agency sectors where they have had archives, library or secretariat documentation experience, in addition to the requisite educational background. Recruitment of professional staff from outside the agency or by transfer from other UN agencies makes use of the "colleague network," advertising in professional journals, and occasionally agency personnel

application files. In a few cases, appointments are based on factors unrelated to professional and technical skills, however.

2.6.1.2 A Working Paper on "Recruitment of Professionally Qualified Archives Staff and Training Needs," prepared for the Second Session of the ICA/SAIO (Geneva, 30 September 1977), stated that some organizations "fail to recognize or to attach the necessary importance to professional qualifications in the archives field," and continued: "It is significant, for example, that in a recent report of the Joint Inspection Unit other professions such as those of accountant and librarian are covered but no mention is made of archivists. Such neglect is both a symptom of relative disregard of archives work and an obstacle to efficient performance and improved status within organizations. It is also to be deplored that certain organizations ignore the profession to the extent of calling upon outside office management firms (often with a bias towards if not a direct interest in microfilm and/or computer promotion) to handle archives problems which can be properly solved only by the application of professional training and experience specifically directed to the needs of authenticity, historical appraisal, and research, something that they would not dream of doing in other areas." The Report of that Session called for prompt action by the ICA to obtain (i) full recognition by each organization, however small, of the pressing necessity to set up and maintain a professional archives service; (ii) a clear and better-defined conception of the relationship between records management and archives services; and (iii) training of staff in archives policy and practice for international organizations.

The urgent need for better qualified staff was expressed by the heads of several Records Management and Archives units in connection with this study, and that factor was held responsible for their inability to carry out their mandate fully. Lack of continuity was cited as another serious problem in the registries of a number of agencies, particularly in the case of staff on term appointments

who return to their native countries when the period expires. One unit head, in mentioning his desire to automate the registry, remarked that it was much easier to get money for machines than it was for qualified people to operate them. The supervisor of a large registry explained that the reason for routine overindexing in registries (country, addressee, writer, titles mentioned, various subjects, etc.--pertinent or not) as well as continued reliance on assigning reference symbols to correspondence--a traditional registry practice that has been abandoned in many modern systems--is that the staff recruited as codifiers and indexers do not have sufficient understanding of the subject matter and reference uses of the material to classify perceptively and index selectively. Therefore, saturation indexing and linking incoming and outgoing letters by reference symbols is the means used to assure retrieval. On the professional side, traditional archivists, trained according to the theory that archivists should be scholars and participate in research, often do not have the technical skills or interests to become practical, innovative records managers, as needed in active organizations.

The Standards for Archives and Records Services, adopted at the Fifth Session of the ICA/SAIO (Brussels, 16-18 June 1980) and issued as Appendix IV of the Report of that Session, drew attention to the fact that qualifications and experience needed for archives and records management would be available if competitive salaries were offered and positions not undergraded, and listed factors to be taken into account in the assessment and continuing review of the size and quality of those services. Samples of job descriptions used in various agencies are reproduced in Appendix C.

2.6.1.3 Consideration of the above-mentioned recruitment problems leads to certain conclusions and recommendations:

- To attract staff with the necessary technical background, broad-based education, and relevant experience to deal perceptively and imaginatively with the records resources and information needs of an active agency,

staffing patterns should be graded accordingly. Position levels should be based on responsibilities and range of duties, size and nature of organization, qualifications, and potential to meet new challenges.

- A professional records manager/archivist should be appointed in each separate agency and in each organ having a staff of at least 100 to 200. A recommended entrance grade would be, depending on qualifications, P 3 for small agencies, P 4 for medium-size agencies, and P 5 for larger agencies, depending on the character of the agency and volume of records activities, range of responsibilities, and ability to provide appropriate reference access requiring technical expertise.
- Standardized job descriptions for various records posts, that can be adjusted to meet the special needs of each agency, should be made available as guidelines. Standards should be flexible enough to provide for demonstrated exceptional ability, relevant experience, and technical expertise in needed skills (i.e., microfilming, automation) in lieu of certain formal qualifications.
- Whenever feasible, tests should be developed to assist in selection of staff, particularly at General Service levels, by ascertaining aptitude, analytical judgment, cognative ability, assessment of files problems and their solution, and manual dexterity (where applicable). Under certain conditions, similar tests may be useful in selecting professional staff as well.
- As a means of integrating records functions to achieve more effective life cycle control, staff members should be rotated between current records and noncurrent record duties whenever feasible to broaden their insights and sharpen their reference and technical skills. This rotation would also serve to mark progressive steps in career paths, which, along with supplementary training, should be aimed at promoting staff who have suitable experience and potential for growth.

2.6.2 Training

2.6.2.1 Archival education as a separate discipline has as yet no constituency of its own. There are institutions primarily for archival education and training in Europe, but except for those in the countries of Northern Europe where modern records and records management principles are stressed, most of those institutions continue to emphasize scholarly research in historical records. Moreover, education and training in those institutions are directed mainly toward potential employment in their own countries, where the profession is still dominated by government archivists.[1/]

In the United States, the United Kingdom and Canada, there has always been a strong preference for on-the-job training and experience for persons with a broad university education, preferably in the social sciences, and--especially for archivists--advanced education in history or library and information sciences, and for augmenting that background with technical courses in various phases of records management and archives administration.[2/] The dichotomy between history and the social sciences versus library and information sciences as appropriate graduate education for archivists has been a subject of discussion, particularly in the United States, where records management and a pragmatic approach to institutional concerns, tend to overshadow traditional archival attitudes.[3/] Both have their place, however, and should receive due recognition, depending on the focus and needs of the organization concerned.

1/ Orr, William J. "Archival Training in Europe." American Archivist 44 (Winter 1981):27-39.
2/ Helmuth, Ruth W. "Education for American Archivists: A View from the Trenches." American Archivist 44 (Fall 1981):295-303. See also Cook, Michael. The Education and Training of Archivists--Status Report of Archival Training Programmes and Assessments of Manpower Needs. Paris, Unesco, 1979.
3/ Schellenberg, T.R. Modern Archives: Principles and Techniques. Chicago, University of Chicago Press, 1956, p. 25; Peace, Nancy E., and Chudacoff, Nancy Fisher. "Archivists and Librarians: A Common Mission, A Common Education.", American Archivist 42 (Oct. 1979):456-462; Pemberton, J. Michael. "Records Management Courses in Accredited Library Schools: A Rationale and Survey." Records Management Quarterly 16 (July 1982):10-16; McCrank, Lawrence J. "Prospects for Integrating Historical and Information Studies in Archival Education." American Archivist 42 (Oct. 1979):443-455.

National archives institutions have been in the forefront of providing specialized training for archivists and records managers, at least until many universities, professional organizations and business consultants entered the field in recent years. National archives training continues to be passed on through in-service courses given their own employees who transfer to other organizations, through internships, and through institute courses, consultant services and specialized training provided to government agencies and international organizations, although allowances must be made for the differences in attitudes and procedures required for active organizations. Some continuing courses are the four-weeks records management course, in English and French, conducted by the Public Archives of Canada, primarily to train its own staff, but occasionally opened to eligible staff from international organizations, and the U.S. National Archives and Records Service's two-weeks Institute in Modern Archives Administration, now offered in cooperation with the Library of Congress. The U.K. Public Record Office and certain national archives in Europe also provide specialized training on request and as an extension of their internal training facilities. This training is directed to fit the needs of paraprofessionals and technical specialists as well as professional archivists.

The accumulated knowledge of those institutions is also widely disseminated by their technical publications as well as by participation of their expert staff in conferences and meetings.

The International Council on Archives, through its international congresses and roundtables, regional and technical workshops, and its publications are another source of professional education, although many of those activities and studies are related more to national archives--and particularly those in the Third World--than to active international organizations. Courses on archives offered by many universities in their history departments and on records management and archives in their schools of library and information science and business administration are generally

directed to manuscripts or specific types of records and archives--business, university, historical society, religious, etc. Similarly, workshops, seminars and institutes offered by professional associations and business consultants have a focus that does not fully meet the particular needs of international organizations which have both management responsibilities and historical obligations. There is at least one independent (by correspondence) study course in records systems administration offered by a California university in cooperation with the Association of Records Managers and Administrators (ARMA) in the United States.

Some UN agencies subsidize in part the tuition for relevant training courses, usually in local universities, when taken outside of regular office hours, and it is the policy of some agencies to send staff to technical institutes, workshops and similar training facilities from time to time for intensive training in specialized fields related to their work.

2.6.2.2 Refresher courses and updating of skills were the subject of a Working Paper at the Second Session of the ICA/SAIO (Geneva, 30 September 1977). At that meeting it was decided to circulate a questionnaire to assess the needs for training in archives and records management with a view to presenting to Unesco, through the ICA, a plan for future action. The end report indicated a desire by various agencies to send staff members for training as specified at the following national archives: Washington, D.C.--general, appraisal, finding aids, disposal; Ottawa--records management (French-speaking); London--preservation and restoration techniques; and Paris--general.

At the Third Session of the ICA/SAIO (Geneva, 2-4 October 1978), it was recommended that ICA be asked to urge the United Nations Institute for Training and Research (UNITAR) to devote seminars to the archives and records management training of staff in international organizations. UNITAR has not yet found it feasible to act on the proposal.

In most UN agencies, records management and archives administration are performed in combination, and in an active operating organization this unity is essential. It is irrelevant to make the distinction that records management is more concerned with administration of records and development of systems in the context of "management science" or "organization and methods," and that archives is more concerned with administrative history and the exploitation of information for research and publication. To characterize the former as pragmatic and technical and the latter as conceptual and intellectual would also be a mistake, as modern operating organizations require solutions to problems that are intertwined. Thus, the education and training (except for the highest degrees of specialization within a large agency) of records managers and archivists must be interdisciplinary and practical and must take into account the broad spectrum of responsibilities relating to records in an era of technological advances that is rapidly changing the format and the character of those records.

Neither is it apt to characterize education as applying to professionals and training to paraprofessionals and clerical staff. Many of the problems of files arrangement and indexing in certain agencies would be solved by better educated and trained Registry staff, and the lack of professionals trained in state-of-the-art technology will put the Records Management and Archives unit increasingly at a disadvantage vis-a-vis other information services in the organization.

Guidelines for curriculum development in records management and archives administration are the subject of a recent RAMP study. Although that study is aimed particularly at the training needs of the Third World, it makes the point that "training in most developed countries is far from being fully developed, and there is an urgent need for a general standard for basic professional training which will highlight areas where there is need for adaptation or for the revision of traditional attitudes."1/

1/ Cook, Michael. Guidelines for Curriculum Development in Records Management and the Administration of Modern Archives: A RAMP Study. Paris, Unesco, 1982, p.4. (PGI-82/WS/16)

2.6.2.3 Measures to meet the need for training in UN agencies should include:

- Regional or cluster workshops and seminars held under the auspices of Unesco and ICA/SAIO, which would be conducted by experts from various international organizations or archival institutions, selected for their expertise in topics to be discussed:
  (a) for files supervisors and paraprofessionals in records management--workshops to increase their awareness of new or alternative techniques and to exchange experience regarding common practices;
  (b) for records managers/archivists--functional workshops in such specialties as automation, reprography, preservation and appraisal;
  (c) for senior administrative and information officers (in company with records managers/archivists)--seminars to acquaint them with the agency's stake in records and archives management and how records can be employed to make a more effective contribution to agency efficiency.
- Inter-agency internships of two weeks to three months, covering single or rotating functional areas should be established. An inter-agency committee, chaired by the UN Archivist and with a rotating membership of no more than four other agencies having well-developed records programmes, could manage the programme, review requests from agencies, and make assignments to an appropriate partner agency, with its consent, so as not to unduly burden a few agencies. In that respect, a list of potential host agencies and their special areas of expertise should be maintained by the UN Archives.
- The heads of Records Management and Archives units should seek management support in order to have staff trained in needed specialties arising from new technology in offices and also to encourage staff to take advantage of local facilities for training in relevant technical skills, if possible within the incentive policies of the agency. They should take this training into account in planning career paths.

2.6.3 Orientation of Staff

2.6.3.1 Most UN agencies conduct a general agency orientation programme for new secretarial and clerical staff, in which communications and records are featured with other basic services. Some agencies also conduct training courses for staff having filing duties--these are generally conducted by the Registry files supervisor or head of the Codification unit. With the spread of files decentralization, such training is expected to be accelerated and broadened. At the decentralized files location, the Registry files supervisor also indoctrinates--either individually or in groups--programme and project staff who are users of the files, in order to acquaint them with the file's resources, the subject classification system(s) and collateral indexing procedures.

Orientation of professional staff, as part of the general awareness programme for new employees, is generally conducted by senior officials, so that communications, records and archives procedures are passed over quickly. In a few agencies, the head of the Records Management and Archives unit is allowed to make a brief presentation, but usually the cursory remarks by the department head, and the directives and information bulletins distributed along with other orientation handouts, are deemed by management as sufficient.

2.6.3.2 In planning for the orientation of staff:

- Communications, records management and archives services and procedures should be a regular feature of all agency orientation programmes for new staff. Presentations to secretarial and clerical staff should be given by the head or deputy head of the Records Management and Archives unit (and the head of the Communications unit, if they are separate). The records component should consist of a minimum of one hour's oral presentation, with slides and other visual aids if available, and a half-hour tour of the record centre/archives and central registry. The communications session should consist of a minimum of 30 to 45 minutes review of correspondence procedures and the Correspondence Manual,

followed by a brief tour of the mail room and, if appropriate, the telex room.

- If agency procedures permit, a briefer orientation of about one-half hour overall should be presented to professional staff by the head of the combined or respective units. This should explain purposes of consistent correspondence practices, the overall records programme throughout the life cycle, staff responsibility for the inviolability of records and for security of information, and information sources available for research. A brief tour of the mail room and the record centre/archives should be offered as an option. When orientation of professional staff is presented by senior officials, the head of the unit should provide background notes or a brief script to the speaker.
- In regard to decentralized file stations, it is crucial that a partnership be effected between the programme staff who use the files and the codifiers and file clerks. The two should work toward a common objective in making the files complete, current, and readily accessible for reference. Cooperation should be promoted by means of indoctrination sessions for new staff on procedures and information resources and by inviting them to mark subject titles on material sent to file to assist codifiers in subject classification and in collateral indexing, and by marking final disposition on papers sent to file, such as "no answer required," or "hold for review after ____," so that file clerks can keep a reminder card on when to return the file for the user's attention when needed.
- For future planning, a UN motion picture documentary on records policies, procedures and resources, illustrating the life cycle concept and the facilitating of reference to information when needed, could be prepared in cooperation with headquarters public relations staff (or at any agency where such resources are available), or by the ICA/SAIO with Unesco

support. The film could be made available at reasonable cost to all UN agencies for training and orientation.

- One deterrent to effective indoctrination is the infrequency and irregularity of sessions scheduled by the personnel and training staff responsible. Sometimes three to six months or longer are allowed to elapse between sessions, and, if a staff member is on leave or on mission, years may pass before indoctrination actually takes place. The importance of procedural awareness to the overall efficiency of the agency, as well as to the new staff member, should be impressed upon the training officers so that a regular schedule of orientation sessions will be followed.

2.7 REPORTING AND STATISTICS

2.7.1 Workload and activities statistics are compiled within all organizations at regular intervals (usually monthly and annually) for reporting to higher authority. Major categories of data gathered that are common to the records function are: communications received for filing--measured in some agencies by stamped serial number and in others by estimates based on linear or weight measurement multiplied by a standard sample of number of items per metre or kilogram; items filed (including duplicate cross reference copies); index or registry entries prepared; files opened; files reorganized; files loaned; files or items (including photocopies) requested; requests for information; number of accessions to the record centre/archives; volume of files transferred; amount of records destroyed; number of new schedules and disposal lists prepared. There is no uniformity among agencies as to data compiled but the nature of the various functions imposes a general similarity. (See Figure 1 for sample UN Archives form.)

The period for cumulative reporting is generally the calendar year, although sometimes another reporting period such as fiscal year is required. Comparative statistics of annual figures over a 5-year or 10-year period are valuable for determining trends and for making future projections.

Metric measurements are used by nearly all UN agencies except in the United States where linear feet (or cubic feet) are currently used. Those figures can be easily converted into metric measurements for inter-agency comparisons.

Programme budgeting is a form of reporting now required of many UN agencies in connection with budget preparation. This usually requires, in accordance with an agency-wide pattern, reports of man-days or man-hours expended and percentage of total Records Management and Archives unit time devoted to specified budget programme categories. Those figures are geared to management planning and in no way diminish the need for detailed cumulative quantitative statistics for each function and service.

2.7.2 Unesco, in cooperation with the ICA, has developed a statistical model[1/] for archival institutions and record centres to provide a basis for the collection and analysis of statistics, utilizing a common archival terminology and uniform categories. The model pertains to national and public institutions rather than to UN agencies, but it has relevance to all types of archival agencies.

In applying this or any statistical model to active organizations, however, it is imperative that it be based on the life cycle of records, that is, information should be collected on current records maintenance as well as on records at the semicurrent and noncurrent stages. It should also provide data on auxiliary services performed, such as forms control, reports control, automation, microfilming, vital records, documents indexing and other information services.

2.7.3 With respect to statistics and reporting:

- The basic principles that should be followed in data collection are:
  (a) consistency, in order to assure the validity of comparable cumulative data;

1/ Unesco/ICA. "International Survey of Archival and Records Centre Statistics, 1980." Questionnaire. Revised draft 29/10/80; "Revision of the Draft International Statistical Model on Archival Institutions and Records Centres, in ICA Bulletin No. 13, 1980, pp. 8-9; Unesco. Survey of Archival and Records Management Systems and Services 1982. Paris, Unesco, 1982, 16p. (PGI-82/WS/3)

(b) clear definitions of terms, to ensure accuracy of data;

(c) regular periods, preferably monthly and annually based on the calendar year;

(d) standard measurements, based on linear metres for holdings, square metres for areas, and kilograms for weight (U.S. measurements should be converted to the metric system when necessary for inter-agency comparisons).

- A specialized statistical model for institutional records and archival functions of UN agencies and other international governmental organizations should be developed by Unesco, in collaboration with ICA, to collect data on records creation, maintenance of current records, and management of semicurrent and noncurrent records. The model should also provide data on auxiliary services provided by some Records Management and Archives units in extension of conventional records functions.
- The questionnaire for the statistical model, when it is developed, should be initiated as a pilot project and, with revisions based on that experience, it should thereafter be circulated to UN agencies at regular multiyear intervals in order to observe and analyze trends and changes in recordkeeping practices and in record holdings, in addition to reporting their status at a given time.
- Workload statistics gathered by UN agencies should place greater emphasis on qualitative data on information services furnished. This would supplement the compilation of factual quantitative data and reveal a more positive and realistic image of the Records Management and Archives unit's efforts in providing information and in managing information resources.
- Printed forms should be designed for collecting detailed data that has to be posted regularly, such as daily mail and files processing reports, so they can be readily cumulated in longer-term reports.

3. MANAGING THE LIFE CYCLE OF RECORDS AND ARCHIVES

The stages in the life cycle of records are: creation--their preparation and receipt or accumulation in the conduct of agency business and retention for record purposes; current maintenance while in active use; and disposal--the actions taken with regard to semicurrent and noncurrent records, following their appraisal, by authorized destruction as having no further reference value, by transfer to a record centre for continuing reference for specified periods related to their administrative, legal or informational value, pending their destruction as authorized, or by transfer to the archives as having permanent or long-term historical or informational value.

This chapter deals with records management concerns during the first two stages of the life cycle. These embrace a wide range of factors, including the materials on which information is recorded; management techniques applied to various categories of records--mail, correspondence, files, forms, reports and directives; the impact of modern technology, including computers, photocopiers and micrographics; and maintenance procedures--filing systems, equipment and supplies, and vital records and security programmes.

3.1 RECORDS CREATION

3.1.1 Specifications for Record Materials

3.1.1.1 Paper. A basic problem regarding modern records is that the media on which information of consequence to the present and the future has been written have inherently destructive characteristics or are subject to pollutants and environmental conditions that hasten deterioration of these media. The main reason why modern papers deteriorate so quickly is their acidic nature. The major sources of acid in paper are alum/rosin compounds used as sizing agents, sulphur dioxide and nitrous oxide from polluted air, impure wood fibers, lignin in wood pulp and residual bleaching agents. Acid also has the ability to migrate

from one piece of paper to another, so that, for example, a document prepared on acid-free paper will be contaminated by storing it in an acidic file folder.

Most paper today is made from wood pulp or fibres. Permanent grade paper is made of 100% cotton fibre (cotton and linen rags formerly used in paper manufacture are seldom available for that purpose anymore), and the degree of durability of other paper is measured to a large degree by the cotton fibre content (i.e., 25% and 50% used in ordinary and executive stationery, respectively) and weight (i.e., 20 (the most commonly used) and 24 pound bond). Paper having lasting qualities is often referred to as "permanent/durable." In this sense, permanent refers to the ability of a recording medium to retain its original strength and characteristics while resisting chemical actions or agents from surrounding air; durable refers to resistance to use and physical abuse over time.[1/] The term also denotes a neutral pH count in measuring the acid content of paper, that is, 7 is the neutral point on a logarithmic scale of 1 to 14; values above 7 are alkaline, values below are acid.[2/] However, the deterioration of paper is mainly caused by the sun's rays, changes in temperature and humidity, chemical changes owing to acid gasses in the atmosphere, and unavoidable wear and tear.

Paper size varies among agencies: European agencies generally use 21 cm. x 30 cm.(8-1/4 in. x 11-5/8 in.), while agencies in North and South America use standard 8-1/2 in. x 11 in. (21-1/2 cm. x 28 cm.). The American use of legal size paper (8-1/2 in. x 13 in.) has disappeared to a large extent, except for certain legal documents. The extensive use of photocopying machines has introduced paper of varying legibility and durability, depending on the type of machine and whether it is a wet process or dry process; some reproductions can be easily smeared or the print turns lighter with age while the paper turns dark and

1/ Lowell, Howard P. "Preserving Recorded Information--The Physical Deterioration of Paper." Readings from the Records Management Quarterly. Prairie Village, Kans., Association of Records Managers and Administrators, 1980. Vol. 2 (1977-80) 1-4.

2/ Evans, Frank B., et al., comp. "A Basic Glossary for Archivists, Manuscript Curators, and Records Managers." American Archivist 37 (July 1974): 427.

becomes brittle. The newer machines, however, are electrostatic, dry process, and many use durable 20 pound printing stock of 100% bleached sulphite (the same as good quality mimeograph bond). Much of the poor replication is due to poor servicing of the machines, careless operation, and lack of replacement of toner rather than the quality of the paper.

Ceremonial documents and legal or formal instruments, such as treaties and agreements, are generally printed, typed, or engraved on permanent/durable paper, preferably of 100% cotton fibre.

Manifold paper, used for carbon copies ("onionskin" or "flimsies") is often of poor quality and becomes brittle and tears easily, which results in a relatively brief life-expectancy. The image may also be faint due to failure to change the carbon paper frequently enough, so that it dries out from overuse or exposure to light. Since the "record copy" of outgoing correspondence is usually the first carbon copy, initialed by the signer and drafter, it is necessary that it be clearly legible and on durable paper. Although copying machines are frequently used to make multiple information copies, the record copy, chronological copy and usually a temporary copy for making extra photocopies (which are clearer than a photocopy made from another photocopy) are generally on manifold paper. Acid-free manifold paper of permanent/durable quality is available in two grades: Grade A is pH 8 or higher, Grade B is pH 7. Although it may be more expensive, selective placement in offices of senior staff where most archives are produced is justified for preventive preservation.

Carbon copy sets, that is, single sheets of manifold tissue interleaved with carbon paper, are used in some offices to eliminate the time-consuming and hand-soiling practice of collating loose sheets and carbon papers and to ensure that legible copies result, since a fresh carbon is used each time. This may have drawbacks for regular correspondence where manifold tissue is color-coded (that is, specified colors for record, chronological, information, etc.), unless the sets are pre-collated, which is seldom practical. However, pre-collated sets of

manifold paper with interleaved carbons are generally used by a number of agencies for telex and cable messages, and for certain other forms that require legibility on all copies.

Ink. The ink used in ballpoint pens, which are predominant in most modern usage, is permanent and will not dissolve in water. Modern inks are considered to have suitable lasting qualities. The fibre-tip pen, used in many agencies for marking copy, making marginal notes, and for labeling, is available in a variety of points from extremely fine to broad and in many colors; it has satisfactory lasting qualities and will not smear. With the carbon inks, which usually do not contain acid, and the printer's ink in use today there is little worry as to their lasting quality, as a basic characteristic of carbon is that it can be used as a permanent black pigment.

3.1.1.2 With the growth of modern technology in the office, the ability of the Records Manager/Archivist to influence materials used for records diminishes as each new automatic machine and process comes into use. Word processing machines, telex machines, photocopiers, facsimile transmission machines, computer printers, offset printers and mimeograph machines are often tied to the paper type recommended by the manufacturer or to common types produced by a wide variety of manufacturers. When the paper quality is not specified, the voluminous demand impels some procurement offices to purchase the cheapest compatible product, unless staff protests force the use of a more acceptable quality. Generally, better quality is less wasteful in the long run, as the feeding device on many machines will clog or fail to register paper of poor quality. Paper wastage is also caused by excessive humidity, which causes it to curl.

Multiple letters to Member States and other international organizations are prepared in a number of agencies by gang-typing on automatic typewriters, on formatted, continuous stationery with interleaved carbons that unfolds fan-style from one sheet to the next on an assembly-line basis, with programmed insertion

of names and addresses. The pages are separated automatically and each letter is finally signed by autopen.

With regard to non-paper records, such as magnetic tape, audio tape, discs and diskettes, archival quality has not yet been determined for all types. Microfilm and photographic film have been the subject of extensive research. The U.S. National Bureau of Standards is currently studying deterioration problems of magnetic tapes for the National Archives and Records Service. Records Managers/Archivists should thoroughly review such matters in professional literature before accepting manufacturers' or vendors' recommendations, or the advice of agency procurement officers who may not be aware of archival standards. (See also Sec. 5.10)

Easy access to copiers has encouraged secretaries to reduce or eliminate carbon copies so that a dim or smeared photocopy may constitute the record copy. Many printed forms are prepared in-house in multiple sets using NCR (no carbon required) paper, so if the original is not filled in with a hard pressed ballpoint pen or typed with a firm touch, the third and further copies will be scarely readable.

Although some conservators insist that all permanent records should be encased in acid-free containers,[1/] acid-free file folders have not so far been used for registry or archival-type files in UN agencies.

3.1.1.3 With regard to specifications for materials:

- The Records Manager/Archivist should promote preventive preservation by close collaboration with the Procurement service on purchases of materials for archival-type records. Technical advice on specific requirements for materials may be secured from relevant ICA committees and from professional literature.

1/ Lowell, Howard P., op. cit., pp. 1-4.

- Permanent grade paper (preferably 100% cotton fibre content) and acid free should be used for formal legal instruments, including treaties and agreements, and ceremonial documents.
- Stationery should be at least 25% cotton fibre content for regular use and 50% cotton fibre for senior executive correspondence.
- Manifold carbon paper for "record copies" of correspondence used by high level offices for archival type correspondence should be of "permanent/-durable" quality.

3.1.2 Procedures for Specific Categories of Paperwork

Among the various branches of records management that are encompassed within the expanded term known as "paperwork management"--correspondence management, directives management, files management, forms management, mail management, and reports management--those concerning correspondence, mail and files are performed to some extent by most UN agencies; those concerning directives, forms and reports are performed in varying degrees by a few. Each of these specialties employs proven techniques for introducing new procedures or adjusting systems to changing circumstances and new technology, thereby increasing efficiency and cost-effectiveness.

3.1.2.1 Mail management concerns that part of the communications process that gets the written word from one point to another. Thus, it is involved with organizing mail stations; selection of appropriate transmission services; opening and sorting incoming mail, and, where appropriate, logging and time-stamping selected substantive communications (unless that is a function of the Registry); routing and messenger services; automation of volume mailings; reviewing outgoing mail, including pre-sorting certain types; and pouch services. It overlaps with correspondence management with respect to seeing that outgoing mail meets established standards, is economically and expeditiously dispatched, and in promoting prompt replies to incoming mail.

The amount of mail controlled usually becomes more selective as the volume increases. Selective registry of incoming mail in automated systems ranges from 12-1/2% by ILO's MINISIS computerized system to about 20% by WHO and 50% by IAEA. Mail Rooms do not, as a rule, register outgoing mail, although central Registry services index and classify the material for file. However, chronological copies of both incoming and outgoing substantive mail are retained in the Mail Room or in the Registry for a limited period for verification and making extra copies on request.

Dating of mail also differs among agencies. In some, the date is inserted by the originating office (preferably after clearance and signature); in others, the date is stamped on the communication by the Mail Room as verification of time of dispatch. However, certain routine types of mail are signed and dated in the preparing office and sent direct to the Mail Room for dispatch without review. Some agencies have routine follow-up procedures administered by the central Registry or file station to check on replies within a given time frame.

A detailed routing guide is maintained by most agencies in loose-leaf or other easily updatable form, for routing incoming mail organizationally or functionally as prescribed in the Correspondence Manual or by special agreement with the offices concerned. In most cases, substantive mail is forwarded to the department, branch or service concerned, where it is given specific routing by the administrative assistant or secretary or by the official file station. Routine mail, including specified types of housekeeping correspondence, and documents and publications, which constitute the largest volume of mail, are generally forwarded direct to the Library, information office or appropriate functional unit (e.g., invoices, applications for employment, requests for information, etc.). Telexes and telegrams are generally forwarded direct to the action office or addressee, with copies of substantive communications sent to the central Registry or designated file station for indexing and filing.

Practices vary with regard to information copies. Some Registries or Mail Rooms distribute such copies centrally according to a pattern agreed with the offices concerned; others leave it to the file station or to the action office to make distribution at their discretion.

3.1.2.2 Correspondence management consists of setting policies and standards for the format, types and quality of written communications, for shortening response time, and for increasing production through the use of automated processes, such as form and guide letters. Its objectives are thus linked in some degree with mail, files and forms management. Correspondence procedures described in the agency Correspondence Manual are subject to constant review as a means of increasing efficiency, keeping up with organizational changes and reducing costs. Inter-office memoranda are treated like outgoing mail in a number of agencies, as regards routing to the central Registry for indexing and assignment of file classification, and, in many cases, distribution of information copies. In other agencies, distribution of inter-office memoranda is left to the discretion of the preparing office, which may deprive the central Registry or file station of significant information. Regardless of the circumstances, inter-office memoranda need to be carefully scrutinized as to relevance and importance, and the ephemera discarded or placed in temporary files.

3.1.2.3 Files management is conducted on two levels: (1) by the central Registry, which controls policy and programme files, including project or case files, and maintains them centrally or in decentralized file stations, or by decentralized registries or file stations operating under centralized control; (2) by overview and assistance to decentralized files where the office concerned is responsible for files arrangement and maintenance (usually administrative, personnel, financial and similar operational records). Some agencies have a central files classification system which can be expanded for particular functions as needed. Larger agencies often find that agency-wide classification

systems result in whole offices putting most of their files under a single number or group of numbers. In most large agencies, therefore, classification systems tend to be decentralized.

Registries or records management staff in many agencies respond insofar as possible to requests for assistance in revamping office files or in installing new systems of files management, but official files in decentralized units that maintain housekeeping or functional records are often left to secretaries and clerks, or a classification plan is prepared by a professional staff member who is familiar with the subject matter but is unable to accommodate it to file material as it exists, resulting in unsatisfactory filing and finding. Although Administrative Manuals and Correspondence Manuals often contain guidelines for maintenance of those files, and schedules or retention guidelines may be in effect for the regular transfer of semicurrent and noncurrent material, it is known--or suspected--that office administrative, subject and working files generally require weeding when the period for retention has expired; that many of the files are unorganized, over-age and contain dormant files left behind by separated staff; and that copies of official correspondence have been extracted from such files, contrary to agency rules.

3.1.2.4 Forms management, when practiced in UN agencies, is generally the responsibility of management services, but in certain agencies, e.g., the IMF and the World Bank, the Records Management and Archives unit assumed that responsibility when the management service's control proved to be neither comprehensive nor fully effective. From a preliminary offer to collect forms in use and to register and review all new forms, revisions, and reorders, while cooperating with management's continued concern with special forms in which it was interested, those units were able to establish firm procedures for carrying out a programme for numbering and dating all forms, for identifying obsolete, duplicate and overlapping forms that could be eliminated or combined into a standard form

that would serve several offices or purposes, to reduce unnecessary copies, and to contribute to substantial improvements in design, consistency and usability (with the cooperation of the design and graphics services). The review also enabled more realistic control of stocks to avoid over-ordering or too frequent reordering, with consequent savings in paper and storage space. In particular, the programme keeps the records management staff informed of the location of each file copy of multipurpose forms, so that the retention period can be specified in advance insofar as possible and transfer and disposal accelerated.

3.1.2.5 Reports management involves policy decisions with regard to the types or classes of reports issued, their periodicity, standards of quality, procedures for authorization, authorship, format, and distribution, including restrictions on access. In many agencies this responsibility resides with a Publications Committee or the editorial staff. However, those Records Management and Archives units which have distribution responsibilities are able to exercise not only distribution control (including management of stocks) but to participate in related functions, including microfilming, listing and indexing. On the basis of its holdings, the unit is also able to identify recurrent reports that may be in the form of correspondence or other nonstandardized formats, to provide information regarding precedents and purposes, and to account for the full range of reports and other issuances of the agency, formal and informal, including random and fugitive issuances that are often difficult to identify and acquire.

3.1.2.6 Directives management is primarily the responsibility of administrative or management services of an agency. Its purposes are to make directives complete in content, coherent and concise, consistent in format and presentation, simple to identify and use, current, dependable as to authenticity, free from conflicts and overlapping with other directives, available to those who need them, and economical to produce. The Records Management and Archives unit is able to contribute to that activity by collecting and preserving originals and

record copies, together with pertinent background data, of formal statements of policy and procedure, delegations of authority, supplementary instructions and guidelines, and notifications to the staff from throughout the agency at both the policy-making and implementing levels of authority. The Archives holdings should be able to provide more complete information as to the purpose or the reason for certain exclusions from directives than is available in the "printed archives," and should contain indications of documents withdrawn or not issued within a formal series (accounting for missing numbered documents) as well as supporting issuances or clarifying explanations and interpretations. There are also within many agencies a number of "undocumented" issuances which are circulated spontaneously without series identification, but which nevertheless have significant institutional importance. Thus information in the Archives assists directives management to identify, coordinate and systematize directives issued at all organizational levels, and to confirm the completeness of manuals.

3.1.2.7 Regarding specific categories of paperwork:

- From its vantage point as an information centre, the Records Management and Archives unit should take advantage of every opportunity to provide services that would facilitate the creation, handling and use of record material and keep procedures abreast of changing organizational needs.
- The Records Manager/Archivist should participate as a member of the agency management team in efforts to increase staff productivity and operational efficiency by applying records management techniques to various aspects of communications and information systems, namely, mail, correspondence, files, forms, reports and directives.

3.1.3 Automation (see also Sec. 5.5)

Computers are commonly used in nearly all agencies for the compilation of data concerning finance and accounting; personnel and related benefits; statistics, econometric models and other research projections; purchasing, property and

other administrative functions; project status and similar cumulative data. The immediate output is often bulky printouts, which are frequently updated and constitute a major waste problem. Recently, some agencies are turning to COM microfiche as a much cheaper and faster method of producing printout data, particularly throw-away data which is rapidly superseded or frequently revised. Although this will relieve an agency's paper storage problem, the question for the Records Manager/Archivist to determine is which state of compilation constitutes benchmark calculations that should be retained for purposes of comparison and fixed-period reporting. Data banks, comprising various types of information accumulated by purpose or function--internal and/or published--have become common research sources in some agencies. Agencies concerned with worldwide disasters requiring urgent communications (e.g., UNEP and UNDRO) are linked into INFOTerra, the international referral system. The second edition of the Directory of United Nations Information Systems issued in 1980, described 335 information systems and data bases maintained and operated within the UN Family.[1/] (See also Sec. 2.2.5)

3.1.3.1 Automated Registry and Indexing Systems

The computer has been applied to accessing UN documentation for many years. The ILO Library pioneered in 1965 a computer-based bibliographic and indexing system utilizing ISIS (Integrated Scientific Information System), which is now used by several other libraries and information centres. Unesco is now responsible for the further development and maintenance of the CDS/ISIS software programme package. In addition, United Nations documents have been listed and indexed with computer assistance since 1950 by means of systems successively called UNDI, 1950-73, UNDEX, 1970-78, and UNDOC, 1979 to date. In addition, the Dag Hammarskjold Library operates the computerized UNDIS (UN Document Information System) in support of document indexing activities (including on-line access) and is developing with the UN Electronic Data Processing and Information Systems

1/ Inter-Organization Board for Information Systems, op. cit., p. 1.

Service the overall design of UNBIS (UN Bibliographic Information System), a computerized, on-line system covering both UN and non-UN material. In Unesco, the List of Documents and Publications, is compiled with computer assistance. The machine-readable files of ILO's Central Library and Documentation Branch are made available for searching through the System Development Corporation's ORBIT system.

The IMF's computer-assisted indexing of its documentation, which is for official use only, is a unique descriptive subject index geared to institutional reference needs, rather than a traditional library cataloguing system such as ISIS or a conventional keyword system based on a thesaurus of selected terms. FAO and IAEA have also established in-house bibliographic information systems for the production of indexes and for the provision of other information retrieval systems covering segments of documentation. Several organizations, including UN, IAEA, IMF, ITU, WMO and the World Bank, are involved in the design or expansion of such systems, either for internal documentation solely or to store and process unrestricted documents of all UN agencies and other organizations in a lively interchange of information.[1/]

At the present time, some agency registry systems are employing the computer for indexing substantive incoming and outgoing communications. The IAEA is in the midst of a general reorganization of its filing system, which was instituted in 1979 by a management consultant firm. The plan involves decentralization of files using a common filing system and a computerized central registry for accessing communications by thirteen different fields, accessible on-line or by printout. The system is accompanied by roll microfilming of the correspondence.

ILO is engaged in computerized indexing of its substantive correspondence using the MINISIS[2/] system developed by the Canadian International Development

1/ Marulli, Luciana. Documentation of the United Nations System: Coordination in its Bibliographic Control. Metuchen, N.J., Scarecrow Press, 1979.
2/ See Appendix D.

Resource Corporation. The ILO system also incorporates information on missions undertaken by headquarters staff, which can be retrieved alphabetically by person or by destination, and the list of ILO meetings and those to which the agency has been invited, which can be retrieved by city and by date. WHO is installing an automated system (CDS/ISIS) which is based on the location of specific files in decentralized file stations, rather than individual documents or pieces of correspondence as in the IAEA and ILO systems.

Indexing procedures for those systems call for indexing incoming communications from photocopies of incoming material so as not to delay delivery to the action desk and from the record carbons or photocopies of the outgoing material.

Additional agencies have signified their interest in computerized registry systems. The different approaches of IAEA, ILO and WHO should provide valuable lessons to others in the light of their experience. It is noteworthy that computer indexing is being performed, in the three agencies, by the same clerical staff who did the job manually, so the same problems of not fully comprehending the implications of the contents with respect to subject indexing are not addressed. Even with a comprehensive thesaurus of terms, accuracy may not necessarily improve. However, the increased number of fields of entry, the advantages of random input in eliminating the filing of card entries, and the speed of retrieval should increase efficiency. The systems offer next-day proof printouts for editing and for correcting entries rejected by the computer because of technical errors.

In the area of automated registry and indexing systems:

- Registry indexing should be planned and regulated by experts so that the variety and extent of terms of entry are reasonably related to the importance and content of the information, in order to avoid excessive indexing tied to standard thesauri. Thus, a requestor will not be

confronted with extensive listings of irrelevant entries. The agency thesaurus should be detailed as to meaning or intent as well as to key words for this purpose. This will require upgrading the qualifications of staff responsible for non-routine computer input to improve understanding of content and thus accuracy and aptness of entries.

- Registry automated indexing should be expanded to provide essential cumulative data similar to that on ILO missions, so that frequently consulted data can be supplied on request.
- Filing instructions, files classification schemes, and similar documents subject to updating should be prepared on word or text processors in order to keep the information current without unnecessary typing.

3.1.3.2 Source Data Automation

Source data automation implies, at least in part, by-passing intermediate data recording stages and going directly to machines from data observation and measurement. This procedure is often used for reporting on status at project sites and in the field, for site recording (e.g., crops, forests, animals, health and social conditions, etc.) either by local observers or small research teams from headquarters, or by individuals or small groups engaged in compiling data for administrative purposes or identifying specific facts. In addition, recurrent statistical data is submitted to some agencies in machine-readable form by a number of Member States. Thus, the source of agency statistical and other reports is not always discernible to the Records Management and Archives unit, which receives only the final compilations of extrapolated data. FAO and IAEA, in particular, make use of these techniques.

Source data automation is used to record data first-hand by a number of different methods. One method is by manually punching data cards at the site which can be collected at random. The information can be retrieved manually

on the spot by a long prong ("icepick") run through identical holes in a series of cards (e.g., "Keysort" system) or the data cards can be sent to headquarters for running through a mechanical sorter or inputting to a computer. Another method is by filling in squares or circles on a standard mark-sensitive form which can be read by an optical character recognition (OCR) scanner, which can in turn produce punched tape for input to a computer. These systems have proved to be inexpensive, efficient, and accurate means of assembling data at the source from scattered locations and over varied time periods for central processing when required.

With regard to source data automation:

- Accessions of records produced by means of source data automation should be identified as such whenever possible, so that the Records Manager/Archivist will be aware that written backup data for verification may not exist. Assurances should be received that the data processing media used (punched cards, punched tape, mark-sensitive forms, magnetic tape, remote input to computer via telephone, etc.) have been fully exploited before they are destroyed as noncurrent or temporary facilitative material.
- Source data automation offers potential applications for records management use in the conduct of record surveys, particularly of field office records, and in compiling data on filing equipment and files throughout the agency.

3.1.4 Reprography: Convenience Copying

In most agencies, photocopying machines are assigned to major organizational units or to floor stations, in addition to those located in offices requiring frequent use. Regulations regarding copying copyrighted material, restrictions against personal use, as well as operating instructions are generally posted beside the machines. Models of machines vary from those assigned to general staff use for a few information copies, to larger models required by offices

needing a substantial number of copies and also to accommodate special size material which requires reduction, such as large statistical tables, newspapers, or charts, and to print shop models for documents reproduction and graphics.

Microfilm reader-printers are available in offices that have custody of the microforms and in areas of heavy use, such as the Library and Archives. These machines are either separate for reels and fiche or equipped with interchangeable lenses to accommodate roll film (individual reels or cylinders and cassettes), microfilm jackets, and microfiche. Fiche-to-paper and fiche-to-fiche (including microjackets) machines should also be maintained in the office having responsibility for the microform function. However, continuous roll-to-paper and roll-to-roll duplication are often performed by service companies, when more economical and practicable.

The instant photocopier is considered by many to have had the most profound effect on recordkeeping since the typewriter and vertical file cabinet. Its positive contributions are:

(a) direct access to duplicate copies of documents, including supporting papers, in related files, instead of encountering multiple cross reference sheets that often require referral to the original;

(b) simultaneous and rapid notification of the full text of urgent and important messages to all persons who need to know;

(c) replacement of duplication by hectograph and similar copiers that require retyping the original or other intermediate processes;

(d) speeding typing of letters that require a large number of copies and separate corrections on each copy;

(e) enabling the writing of longhand or typed notes or comments on draft documents, incoming letters and memoranda, and then photographing the result for information copies;

(f) preparation of "security copy" and sometimes providing the only reference copy when the original is not available;

(g) accessibility for working purposes--taking on missions or to meetings, processing for indexing and microfilming, and similar temporary uses without disturbing the official copy.

The abuses of convenience copying have burdened organizations with superfluous copies, excessive machine-rental and paper costs, and unauthorized personal use. Consequent disadvantages are:

(a) copies circulated for reasons of prestige, official position, or curiosity rather than for information need;

(b) poor readability due to mechanical imperfections, inadequate maintenance, and machine breakdowns due to faulty operation;

(c) careless handling of sensitive information;

(d) excessive duplication of office copies and unnecessary filing of copies "because they are there";

(e) need for extensive weeding of duplicates when files become noncurrent;

(f) delays in the transaction of business because of mechanical failure and paper shortages, particularly for machines that use treated paper stock.

Some methods to overcome these problems are:

- Emphatic instructions to staff regarding differences between information copies and file copies should be explained in the Secretaries' Handbook or its equivalent, and by supplementary memoranda if necessary, as well as in orientation talks.
- The use of separate temporary folders should be encouraged for information copies that have to be kept until action is resolved.
- Responsibility for control and monitoring of maintenance of each copier available for staff use should be delegated to designated individuals (and alternates) to ensure maximum operating efficiency.
- Regulations regarding copyright restrictions, guidelines for restricting the number of copies, and operating instructions, prominently posted next to each photocopier, should be enforced.

3.1.5 Micrographics

3.1.5.1 Basic Types of Microforms

(a) Roll microfilm (16 mm. for most documents, 35 mm. for engineering drawings and plans), the lowest cost type of microfilm, for use when documents and data are in sequential order and interspersed additions will not be made (unless spliced to the end of the reel), when file size will allow full or nearly full utilization of the reel (2,500 to 3,000 images per 100 ft. reel), and--for frequently consulted records--when automatic or semiautomatic devices are used which allow random input, such as blip count systems, line code or film measuring systems. For high volume retrieval, including records management systems for current records, roll film should be housed in cassettes or cartridges for instant contact. A cartridge is a plastic enclosure around the roll which provides self-threading capability; protection from fingerprints and damage from handling or dust; capability for indexing with odometers, bars and blips; and also lessens the possibility of misfiling. A cassette is similar but has a double core so that the film can be rewound without leaving the container.

(b) Microfiche, a unit record containing 98 page images on a sheet of film (usually 105 mm.), with a top line for an eye readable header and file identifier. Conventional card-filing techniques can be used for storing and retrieving fiche (each unit of which is retained in an open top envelope) in card drawers (sometimes with magnetic aids for retrieval), visible cabinets--stationary or rotating, or mechanized cardconveyors. Automated retrieval devices are also available for large files. Microfiche are normally more expensive to produce than the equivalent roll microfilm because of the additional steps and equipment required to produce the fiche, including a step-and-repeat camera instead of a rotary or planetary

camera. However, microfiche readers are less expensive than motorized roll film readers and require less maintenance. Some disadvantages of microfiche, however, are the danger of misfiling and the ease of unauthorized removal, particularly with regard to security classified documents.

(c) Microjackets, similar in appearance to microfiche, are created by placing strips of 16 or 35 mm. microfilm in horizontal sleeves of a clear plastic jacket, which serves both as a carrier and as an identification means. If jackets are contact-printed to another sheet of microfilm a microfiche is created. Readers designed for microfiche are also usable for jackets. This system is more expensive than reels or cartridges because of the labor involved in inserting strips, but it is often less expensive than an equivalent microfiche system. Its most popular use has been for case files that can require either updating of individual records or adding new records. However, microfiche is also updatable by overprinting superseded images and inserting new images on the master as necessary on a special transparent photographic (TEP) film.

(d) Aperture cards, usually similar in size and consistency to tabulating cards (to which they may be adapted for mechanical sorting and retrieval), have a transparent frame on the right hand side into which a strip of film (16, 35, 70 or 105 mm.) is inserted. These are most commonly used for engineering drawings and plans.[1/]

3.1.5.2 Microfilming of Records

Microfilming of programme correspondence and housekeeping or operational files is conducted by a number of agencies at two stages: current files and archives. COM microforms, for example, have become a standard accessory of

1/ Microfilming Records. Washington, D.C., National Archives and Records Service, 1974, pp. 29-31; and Sung, Carolyn Hoover. Archives and Manuscripts: Reprography. Chicago, Society of American Archivists, 1982, pp. 15-22.

automated office systems for active records, particularly for personnel, financial, purchasing, statistical and similar records. Several agencies have turned to microforms to permit disposal of the original records in order to conserve space. WHO put its archives on microjackets for the period 1946-1975, but discontinued the practice when space was made available for an archives in its present headquarters building. When that building was in the planning stage, a management survey was made on the comparative costs of storing archives in their original form and of microform. The result was overwhelmingly in favor of paper retention. This confirmed studies by other organizations, including UN headquarters, which found the difference two and one-half to three times more costly.1/ WHO continues to microfilm personnel name files and certain financial records, however, as do some other agencies. ILO also microfilmed its archives of early Conferences for a time but abandoned the practice as uneconomic and impracticable.2/

IAEA, in conjunction with its automated registry system, microfilms daily the substantive correspondence entered in the registry. Each day's correspondence is microfilmed the day after receipt and processing. The film is retained in the rotary camera until a roll is complete--around 3,000 images usually covering a week's input. Filming is by random input. Images are numbered by hand machine in blocks by type--telexes, correspondence, memoranda--to enable speedy automatic retrieval by the "blip" method. The image number appears on each entry in the automated registry index so the user can go direct from the terminal screen to the corresponding microfilm cassette, which is then inserted into the reader-printer and the image number pushbuttoned to produce the text. Completed film rolls are sent to a service company for developing and for duplicating a security copy which is sent to the archives; turnaround time is around 36 hours. Silver

1/ "Microform--Use and Misuse." Working Paper prepared for the Fourth Session of the ICA/SAIO (Geneva, 10-12 September 1979), p. 3.
2/ Johnston, G.A. "The Archives of International Organizations, with Special Reference to the ILO." Journal of the Society of Archivists 4 (October 1972): 513.

halide, archival-quality film on 16 mm. rolls in cassettes is used. The future value of the microfilm, when the files become noncurrent, and the value of duplicate rolls, will have to be assessed later in the light of experience, as obviously some of the file material is of temporary value only and, furthermore, the subject matter is not complete (for example, the Director-General's records are not included in the central registry).[1/] Since the originals are retained, consideration may be given to remicrofilming of the final archival file eventually.

At the Fourth Session of the ICA/SAIO (Geneva, 10-12 September 1979), a Working Paper on "Microform--Use and Misuse" summarized the main uses of microfilming as: to reduce the storage space occupied by voluminous records destined for limited preservation, to form a part of an information storage and retrieval system, to make copies of records for security deposit elsewhere, to provide searchers with facsimiles of records too fragile to withstand fingering, to achieve longer-term preservation of records undergoing physical deterioration, to make available copies of information and records in other locations for other purposes and, conversely, to acquire copies of relevant records of other organizations or units to complement the records held, and to supply copies in reply to requests. It was noted that a by-product of microfilming for all uses is provision of a security copy as well as the possibility--according to the method used--for making additional copies.

The essential factors to be kept in mind in administering the microfilming of records are:

- The central point for control and coordinating microfilming policy and practice throughout an agency should be the Records Management and Archives unit, to enable it to exercise its responsibility for retention, disposal and preservation of all records, regardless of form or origin.

1/ For consideration of the problems involved in microfilming of current correspondence, see Herschler, David H. and Slany, William Z. "The 'Paperless Office': A Case Study of the State Department's Foreign Affairs Information System." American Archivist 45 (Spring 1982): 142-154.

If necessary, an inter-office committee composed of representatives of the units concerned may be a useful means of collaboration.

- For practical purposes, responsibility for certain types of microforms may be delegated to specified offices, such as computer services for COM microforms and to the Library or Publications office for the microfilming of printed archives for sale and general bulk distribution, including micropublishing; all other direct microfilming should be centralized within the unit.
- Careful cost/benefit analysis should precede any decision to microfilm, particularly when the sole purpose is to save space. Rental of additional space or assignment of additional staff to accelerate transfer and disposal may prove far less costly than microfilming.
- Similar cost/benefit analysis should precede decisions on whether to set up a full or partial microfilming capability within the organization or to make use of contractual services.
- The uncertainty of legal admissibility of a microfilm record should be taken into account before the destruction of originals they are destined to replace. Such decisions should be made with the advice of the organization's legal office, in consultation with programme and media specialists, to supplement archival and historical viewpoints.

3.1.5.3 Legal Admissibility of Microforms as Evidence

Many studies of national and worldwide legal systems have been made to determine the legal validity of microforms. A recent RAMP report brings information up to date from a comprehensive earlier study of microfilm legislation in many countries which was made for the ICA Microfilm Committee in 1975.[1/] The 1975 report contained, inter alia, a series of recommendations summarizing measures taken by individual States in recognition of the legal

1/ Weill, Georges. The Admissibility of Microforms as Evidence: A RAMP Study. Paris, Unesco, 1981. 84p. (PGI-81/WS/25); which updates Bacso, J., Borsa, I., and Schelnitz, G. "Legal Questions of the Application of Microfilms." ICA Microfilm Bulletin No. 5, Budapest, 1976, pp. 21-65. Also published separately by Unesco, 1975, 47p.

validity of microforms to assist countries where such regulations were not complete or failed to provide suitable solutions. The value of microforms as evidence may vary in accordance with the reasons for which they are made, namely:

(a) security--to ensure that a copy of the original exists in the event of loss of the original and for reference in cases where handling might cause harm to the original;

(b) supplementary--to facilitate research, and provide access to related scientific and technical studies.

These two are known as documentation microfilm: the originals are preserved, the microforms strictly follow archival formalities of arrangement, preservation and use, and they are produced on archival-quality microfilm made to high-quality standards to be long lasting. Other uses are:

(c) substitute--for administrative purposes; and

(d) substitute--to reduce the cost of storing a large volume of current original documents.[1/]

Technological progress has changed microforms from consideration solely as duplicates of originals to also originals in their own right (e.g., COM microforms), and graphic evidence and other nontraditional records, such as computer files and magnetic tapes, have also been given legal status as evidence by some countries. These matters cannot be taken for granted or passed over without careful consideration from several points of view--archival, legal, subject specialty, historical and media technology.

3.1.5.4 COM (Computer-Output-Microfilm) Microforms

The key element in the COM process is that it provides for automatic, direct recording onto microform (roll, fiche or jackets) of computer output by electronic means and at electronic speeds without the use of mechanical printing elements.[2/] Thus, COM microfiche provides inexpensive and space-saving

1/ Weill, Georges, op. cit., pp. 44-47.
2/ Computer Output Microfilm. Washington, D.C., National Archives and Records Service, 1975, 46p.

throwaways in lieu of bulky paper printouts that are frequently replaced by updates and longer-term cumulations, particularly when the data is used chiefly in the originating office. COM roll microfilm (cartridges or cassettes) may serve to replace, at the last stage of cumulation, magnetic tapes of computerized information which is deemed to have archival or long-term value. Retrieval coding, such as the document mark or "blip" beside each image, may be used with 16 mm. COM microfilm.

COM also provides a ready means of keeping essential data current in vital records programmes and for other security copies. The COM generated microfiche has certain distinct advantages:[1/]

(a) ease of use, because data is already segmented into relatively small groupings making sophisticated retrieval systems unnecessary;

(b) many computer reports are not long enough to utilize a complete reel;

(c) speed of recording, which may be five to ten times faster than a computer line printer on paper;

(d) cost, because film is much cheaper than paper, particularly for throwaways, discarded when the next day's report is received.

COM is also used to produce computer graphics in addition to alphanumeric information. Consequently, computer graphics will become increasingly important in econometric, scientific and engineering applications. Another process increasingly employed is CIM (computer-input-microform), which converts data, particularly business, scientific and graphics applications, on film to magnetic tape and the like.[2/]

Production of COM is contracted to outside computer service firms in some agencies by the central computer service or by finance, statistical, and administrative offices which handle their own arrangements. Frequently, Records Management and Archives units become aware of COM microforms in existence only

1/ Brown, Gerald F. "Microforms," in Readings from the Records Management Quarterly. Prairie Village, Kans., Association of Records Managers and Administrators, 1978, pp. 57, 71-72.
2/ Computer Output Microfilm, op. cit., pp. 43-45.

after copies are made available for vital records or security programmes or when they are transferred for disposal, but unless the Records Manager/-Archivist is a member of an agency computer policy committee there is no way of being informed of the character of these records.

Although COM microfiche has a standard reduction ratio of 48:1 in contrast to the 24:1 ratio for normal microfiche, both types of microfiche can be viewed on the same reader if interchangeable lenses are available. Since the two types are generally used by separate offices, however, different readers are used. COM reader-printers are different from regular microfiche reader-printers as use of COM systems frequently does not require printouts of entire pages, so that a half-sheet accessory may be preferable. Microfilm used in COM units is similar to conventional silver film except that a special emulsion is necessary to adjust to the particular cathode ray tube.

With regard to COM:

- The increasing use of COM microforms in lieu of paper printouts requires that the Records Manager/Archivist be aware of those systems and be able to make preliminary evaluation of the archival value at the design stage.
- COM microforms of computerized data should be used in vital records programmes and for security copies of operational data when available.
- Since normal development of original COM film produces a positive image, vesicular duplicating film that produces a negative image from a positive master is commonly used to make duplicates.
- Retention of COM microforms as a substitute for historical computer tapes for archival purposes should be carefully considered, in view of the ease of handling and superior reference accessibility of the microforms.

3.1.5.5 Microfilming of Documents and Publications

The formal documentation of most UN agencies (i.e., minutes and documents of major boards and committees and proceedings of conferences and seminars) has been

microfilmed in all official languages, from the beginning to the present. The predominant format used at the present time is microfiche, currently the NMA (U.S. National Microfilm Association) standard of 98 frames (7 rows of 14 images). Some organizations have older microfiche in the earlier COSATI (the former Committee on Scientific and Technical Information) standard format of 60 frames (5 rows of 12 images).[1/] Depending on the purpose and use, some agencies have their older documentation on roll microfilm. The trend has been to switch to microfiche for reference convenience and for better reproduction; this has been accelerated by better and smaller step-and-repeat cameras and other processing equipment. Some organizations also have their publications and other printed archives in microform.

Responsibility for microfilming documentation and publications is generally in the office which issues them or holds the official records. Consequently, libraries which hold the agency printed archives and are responsible for indexing and bibliographical listings may also be in charge of their microfilming, often acting as an arm of the publications sales office. In other agencies where the Records Management and Archives unit has charge of both the printed archives and the original archives, including providing access, it also has responsibility for microfilming.

Time lag between issuance and microfilming varies among agencies. For example, ECE microfilms its documentation in its three official languages after three years. Other organizations specify different periods. The objective is to establish a period for processing after final approval, and after a normal time lag to allow for corrections, additions or deletions, and supplements and revisions to minimize the possibility of error and the need for refilming. Microfiche is not used to eliminate paper copies at the time of initial distribution and consideration prior to action or discussion. It

1/ Microfilming Records, op. cit., pp. 29-31; and Sung, Carolyn Hoover, op. cit., pp. 15-24.

does reduce the need for keeping long-term files of paper copies and for keeping large distribution stocks when the active period has passed.

With regard to the microfilming of agency documentation and publications:

- Microform sets of secretariat documents and agency publications, preferably microfiche, should be retained in the agency archives as well as the Library's printed archives, where applicable.
- Silver archival quality film and archival standards of production should be employed for the camera master and for a second print copy for duplicating or security. Reproductions for general distribution and for working purposes should be made on diazo film, or for COM microforms, on vesicular microfilm.
- A vital records programme or security set of important documents series should be retained in another location, either on roll microfilm to save space and lessen danger of loss or misfiling, or on microfiche when this is the original microform.
- Filming of documents should be performed in-house to enhance quality control, when feasible, but, except for very large operations, film developing and processing can often be handled more expeditiously and less expensively by a reputable service company, according to archival standards imposed by the agency.
- Publications of smaller organizations, including annual reports and proceedings of conferences and annual meetings, periodicals, books (unless printed by commercial publishers) and special reports that are of general interest, may be made publicly available in microform by commercial sources under contractual arrangements that would provide more efficient production and distribution at less expense than if done by the agency itself.
- Microform reprographic equipment for fiche-to-fiche and fiche-to-paper copies should be available only in the Library and the Archives; readers and reader-printers should be available in those areas as

required and, if necessary, in other designated areas of extensive use. Roll-to-roll film should be produced by the service company which processes the film, unless the volume justifies centralized on-site copying.

3.1.5.6 Micropublishing

Large organizations having an extensive volume of microfilmed documentation, such as United Nations headquarters, Unesco, and IAEA, are also micropublishers in that, in addition to archival uses, they reproduce microforms in quantity for distribution and sale to other organizations, libraries and research institutions, in addition to supplying copies for their own multiple needs, including field offices, Member States, and security copies.

Smaller agencies sometimes have contractual arrangements with commercial micropublishers for handling their publications. For example, IMF publications are made available in microform by a commercial micropublishing firm with a worldwide clientele. Under such arrangements the agency sends its publications in all languages to the micropublishers routinely as they come off the press and they are microfilmed in roll or fiche, according to customer request on special or standing orders. A complimentary copy (positive roll or microfiche) is returned to the agency after a publication or annual periodical series is filmed. The company, which publishes an extensive catalogue of its resources, also provides on order hard copies of periodical articles and other excerpts from publications. Agencies may also enter into contractual agreements with other micropublishers for certain publications, on occasion, instead of assigning exclusive rights to a single outlet, in order to reach a somewhat different audience. This practice relieves the agency from having to keep stocks of older publications in the original form (the availability of microform copies is announced in the agency publications brochure) and provides a service to libraries and other users that the agency would not find feasible or economical to undertake on its own.

Proposals have been made within some agencies to severely restrict initial distribution of documentation in paper form and, particularly, to dispense entirely with paper editions of some large statistical publications in favor of microcopies. Speed of overseas distribution, space savings for stocks and office files, and substantial savings in handling costs and postage are the advantages cited; those savings would normally offset the cost of providing readers (but probably not reader-printers) for official recipients. The idea has met considerable user resistance, however, except in certain instances of scientific, technical, and educational publications distributed in dispersed locations for instructional or cultural reference. User resistance is expected to lessen in time with respect to reference copies, if not for action and information copies, as the use of microforms in the office becomes more common.

3.2 CURRENT RECORDS MAINTENANCE

3.2.1 Filing Systems

3.2.1.1 The predominant pattern of central registries in many UN agencies has been undergoing change to decentralized files stations under central control. UN headquarters in New York had nearly completed, as of the end of 1982, the changeover from a centralized system, with a common decimal classification scheme and a registry index, to decentralized subject files established at the level of divisions or offices, located at the unit level of their choice. Mail is not registered and routing is arranged according to location (building) and office. Decentralization is not new to UN headquarters, there having been a period of decentralized branch registries from 1948 to 1953, between the two spans of centralized files systems.

The new classification systems were set up by the Registry Section, after review of the existing files and filing needs, in collaboration with the organizational units concerned. The systems are arranged by subject, either alphabetical without an attached coding system or classified by an alphanumeric

system, utilizing one to three digits as appropriate. The files will be maintained by the offices concerned. The Registry Section will continue to coordinate systems, serve as consultants, and audit files as necessary. The superseded files were closed as of the date the new system was put into effect, and, after a period agreed as necessary for continuity, will be transferred intact to the UN Archives. As a corollary, schedules were established for the new files by the Archives Section, and the dates of prospective transfer marked on the file folders.

Files decentralization is now being extended, with the advice and assistance of the head of the Records Management Service in New York, to the regional economic commissions, beginning with ECLA. The new systems will be expanded to include records management practices, especially a record centre/archives and scheduling, transfer and disposal procedures. This is a continuation of the policy of assisting other organs of the UN Family insofar as possible. For example, the common classification system now in use by the regional economic commissions was prepared by headquarters and adapted to particular regions as required, and the system used by the UN Office in Geneva was prepared with the assistance of a staff member detailed from New York.

3.2.1.2 At present, a common classification scheme for agency files is in use in most European agencies and organs. The Registry prepares and maintains the classification scheme, adding or changing numbers by opening new files as the subject matter indicates or at the request of decentralized offices or file stations, which send (or are supposed to) new material received directly from staff and propose new subject breakdowns needed; it also maintains the central index by multiple entries to correspondence items or to files. Closed files are returned to the central Registry for weeding and disposal--often they are held in the Registry files when there is no record centre/archives or storage space for noncurrent records. The Registry

supervisor (or head of the Codification unit) is also responsible for training staff engaged in filing duties, auditing decentralized files under central control, and advising on revamping files or adjusting the system to meet the particular needs of the staff. At least three agencies (WMO, GATT and WIPO) retain originals of correspondence in the Registry files from time of receipt and circulate copies to the action office, so that the archives copy will be in place. This practice is also intended to induce staff to send related material to file as soon as action is completed.

A simple alphanumeric or subject-numeric code is used for many of the agency file classifications. Two agencies use an adaptation of the Universal Decimal Classification (UDC), a library classification system used in many European libraries. Certain agencies have decentralized registries (e.g., FAO and the World Bank) under the central control and staffing of the Records Management and Archives unit.

Small agencies or bodies usually maintain centralized files within the Registry as this is the most practical and efficient method for handling a small volume of material on a life cycle basis with a few trained staff.

Housekeeping records, including personnel files and other records relating primarily to a specific function, are generally administered by the office concerned, as are many project and case files in the programme sector. In a few instances, these are brought within the area of Registry operations.

The IMF has an archival Central Files, which comprises substantive correspondence received daily from the Communications unit; formal instruments and communications with Member States; relevant documents of the Executive Board and Board of Governors which are filed by subject (including excerpts from the Summary Minutes); closed policy and programme files received from certain departments and the executive head of the agency from time to time for weeding and integration in the Central Files; relevant items weeded from working and convenience files before destruction; and occasional copies from

other record series in the record centre/archives required for comprehensive reference searches.[1/] The Central Files thus serves both current and historical reference needs. The records are arranged according to an alphabetical primary category/decimal classification scheme, and is accessed by the relative index to the classification scheme and a selective card index to other subjects or titles as necessary. Decentralized archival files are also retained at the departmental level except where certain specific functions are concentrated at the division level, so that subject matter will not be unnecessarily diluted among various sublevels. However, inconsistencies in arrangement of decentralized files and the incompleteness of contents--which often require relevant material from other departments to present an accurate picture of activities and events--make the Central Files the preeminent source of information in the policy area.

With regard to the quantities of printed documents that are circulated and accumulated in UN agencies, departmental staff are usually encouraged to return documents to stock when no longer of current interest. General practice is that only individual documents interfiled by subject with related records for reference should be kept longer than two years. Sets of documentation are restricted to those offices that have continuing responsibility for a particular series or which need them for continuing reference (e.g., Legal and Secretary's Departments), and those offices are now being encouraged to retain microfiche instead of paper copies, at least for material over three to five years old.

In agencies having a central Registry, correspondence is generally accessed by a card index having multiple entries to expedite retrieval. There is generally also a card record for each file category which also serves as a locator index to decentralized files. As indicated above, these central indexes are being replaced by automated systems in some agencies.

1/ The practice, common to most UN agencies, is stated in the IAEA Administrative Manual: "The Archivist may, at his own discretion, select documents which he considers of lasting value for inclusion in the central registry files for permanent retention."

Some UN bodies have adapted their filing systems from the central classification scheme formerly in use at UN headquarters, while others have prepared their own systems. With the decentralization of headquarters files, it seems likely that the impetus will spread to other organs and agencies. The Registries in each case will have to define new ways to meet the needs of offices in coordinating the separate systems, working with programme staff to adapt or devise appropriate files arrangements or classification plans, detailing filing procedures, and training staff to maintain the files or preferably having central direction and/or control of the filing staff. Otherwise, there would be files anarchy and competing sources of data. In particular, substantive files in which there is a community of interest among several departments and offices will have to be correlated to prevent diffusion of information concerning a particular matter, transaction or subject that would unnecessarily complicate and delay research and action and tend to build up several overlapping file sources, each incomplete and skewed to a particular facet of the subject. It is far more efficient and far less expensive to effect coordination at the files creation stage rather than wait for the archival stage. At the extreme, ineffective files result in user frustration, which, combined with the current fascination with machines, may lead to inappropriate adventures in automation which address only short-term solutions and may have unfortunate consequences for agency records overall.

3.2.1.3 With regard to filing systems:

- Current files in larger agencies should be retained in designated file stations relating to functions or major organizational units (departments or offices) in order to:
  - (a) prevent fragmenting related information and contribute to the completeness of official files;
  - (b) eliminate unnecessary duplication;
  - (c) specify the location of certain types of material and information to avoid confusion as to its whereabouts;

(d) prevent mushrooming of subordinate files in another location;

(e) facilitate the disposition of semicurrent and noncurrent records.[1/]

- Classification plans should have a simple coding scheme that will be consistently applied; the arrangement should be logical and hierarchical to provide room for expansion or for particularization as necessary, in order to bring related material together unencumbered by unnecessary general or extraneous documents and to reduce the need for supplementary indexing. Straightforward alphabetical or broad category/alphabetical arrangements should be used for small files or whenever appropriate. Outgrown systems should be revised or replaced.
- As coding systems faciliate eye recognition and thus filing and finding, mnemonic symbols (single or up to three letters) should be used for primary categories signifying the main subject or organizational unit. In order not to encumber a classification system with too many digits, final particulars under a coded symbol should be incorporated individually, that is, date, place, product, title or whatever is the ultimate filing designation.
- Material of transitory value should be initially separated and placed in temporary folders having the same file code as the permanent file in order to reduce the need for weeding and to improve the quality of the main file.
- Files covered by schedules for recurrent transfer to the Record Centre/Archives should have the transfer date marked on the folder or label when the folder is made up to facilitate disposal.

3.2.2 Filing Equipment and Supplies

3.2.2.1 General Standards for Basic Equipment

Procedures for collaboration between the Records Management and Archives unit and the Procurement office apply to standard stockroom supplies and to standard equipment that is routinely furnished staff according to rank and function, as well as to arrangements for purchase of special and nonconventional

1/ File Stations. Washington, D.C., National Archives and Records Service, 1980, pp. 1-3.

equipment and supplies as required. In some agencies or bodies, that collaboration is advisory rather than mandatory, however.

Standard filing equipment in registries and file rooms generally comprise:

(a) Metal vertical file cabinets--usually 5-drawer, although some agencies still use 4-drawer. Drawers are fitted with either metal compressors ("backstops") or contain hanging folder compartments which some staff find difficult to move and inconvenient for thick files. Alternatively, the drawers of some file cabinets are fitted with standing flexible metal dividers placed at intervals in the drawer ("wobble blocks") for use in place of the compressor. Two-drawer cabinets are sometimes assigned for desk side files of professional or senior staff and administrative assistants, to supplement desk file drawers.

(b) Shelf files--either open shelf (generally 6 or 7 shelves high) or enclosed, with full length vertical doors (sliding or folding), which in many European agencies are fitted for suspended filing compartments (coathanger style) in which file folders are inserted with side-tabbed labels and snaps for fastening compartments together when they contain folders with the same file codification. American-style lateral file cabinets (generally 5-shelf, although an overfile is sometimes added) usually have individual slide-back doors for each shelf, although some have full-length cabinet sliding doors, and the shelves may either be stationary or roll-out. In both open and closed shelf files, metal upright dividers are inserted in slots in the shelves to hold folders erect; file folders often have top labels, as do the pressboard dividers and charge-out cards, because these folders were probably transferred from vertical cabinets. However, new and specialized installations for lateral files usually have matching accessories with side labels.

(c) Storage cabinets (armoires) with doors to provide for locked storage and protection from dust may be single or multimedia--used for a single

type of file or several types--archives boxes, ring binders (3-ring stiff-back binders in U.S. usage or 2-ring "Leitz" binders in European offices), and also for suspended files, or a mix, along with books, tape reels, supplies and miscellaneous material.

(d) Security (safe) cabinets with one hour insulation for fire protection and combination lock. These come equipped with drawers, usually four drawer, or a combination of drawers and open space for flat filing of oversize documents. Inner space may also be fitted for magnetic tapes, audio tapes or microforms as required.

Nonconventional equipment includes rotary units for holding binders or index card trays accessible to staff seated around them, pocket visible files in hinged or stacked units for microfiche, diskettes or card records, map and plan cabinets, card catalogue units, data racks for hanging computer printouts in post binders, data cubes for unburst data sheets, magnetic reel cabinets (desk-side, office or general storage), mobile shelving and other standard units suited to particular formats and office working requirements. Some units may be sized to accommodate developing files at beginning and later expanded stages.

3.2.2.2 Filing Accessories

Most UN registries use heavy duty kraft file folders with a 3/4 inch bottom fold, or gusset, which have single position, centre-cut tabs, on which self-adhesive (also called "pressure sensitive") labels are affixed. European agencies make extensive use of "Leitz" heavy cardboard binders, 2-ring with a compressor bar, for current records, both correspondence and documents. U.S. agencies use 3-ring binders chiefly for reference files for special accumulations of documents and work books. Usually, binders with three-inch spine width is the most used type in both cases, although one and two-inch widths are used for manuals and similar purposes.

Documents and archives boxes, holding 4 to 6 linear inches of papers, used in many European agencies, are corrugated cardboard with removable lids and have corners sealed with adhesive tape. These contrast with American-style documents

boxes (standard 4 linear inches wide), which were developed according to specifications of the U.S. National Archives in the late 1930s; these containers have drop lids for easy access, metal hinges instead of adhesives to repel insects and vermin, hand pulls or holds, and are acid-free.

There is also a contrast between record centre cartons used in European and American agencies. Many European repositories keep semicurrent records in storage or transfer cartons that have flip-top lids or string and button closures, are single-walled, and often have adhesive-taped joints. The American double-walled cartons (record centre cartons) have removable lids, no adhesive tape, handle slits, and can be set up for use by shaking into shape. They hold a standard one cubic foot of records which can be filed vertically or horizontally according to the length of the folders inserted. They are sturdy enough to be reused, when feasible, instead of being destroyed with the contents.

Some European agencies have preprinted charge-out folders identical to each Registry file folder (and prepared simultaneously). The frequency and length of time material is charged out may justify this practice, when files are kept at both the central Registry and decentralized location. However, this duplication seems excessively space consuming. The charge-out folders are also used later when the material becomes archival and it is necessary to charge out only selected documents for security. Other agencies use pressboard charge-out guides with an acetate pocket for holding a charge-out slip (printed on a two-part NCR form, one copy for the charge-out pocket, the other for control record at the supervisor's desk). Such charge-out guides can also be purchased in folder form to hold pending material, but some file stations prefer a less bulky kraft folder stapled to the out-guide for pending material.

Archival quality accessories are widely available for all sizes and types of archives. Acid-free file folders, with a minimum pH of 8.5 and buffered with 3% calcium carbonate buffer, are available from a number of suppliers. Acid-free documents boxes of varying sizes to accommodate all types of records, both paper

and nonconventional, and for flat or vertical filing are available from a number of manufacturers. Polyester sleeves for encapsulating photographic negatives and prints and for ceremonial and fragile documents, which make the contents visible without fingermarks, are widely used. Inert plastic containers are also available for archival protection of roll microfilm and motion picture files.

In some agencies, there is cooperation with procurement staff as to the interchange of information about new equipment in trade and professional journals and attendance by records managers, as well as purchasing officers, at equipment shows and dealer demonstrations to keep abreast of trends and in a better position to evaluate products on the market.

With regard to equipment and supplies:

- The basic elements in the selection or replacement of equipment involves one or more of the following: reduce effort, reduce costs, reduce time, improve accuracy, increase efficiency, replace impractical hand or manual methods.
- General criteria in the selection of equipment are:
  - (a) use conventional items when practical;
  - (b) use nonconventional items only with valid justification;
  - (c) compare various types before deciding.
- Related factors that influence selection are:
  - (d) suitability to withstand anticipated floorloads of equipment and records;
  - (e) urgency for immediate retrieval of certain records;
  - (f) availability of rapid delivery facilities, such as conveyors and elevators;
  - (g) ratio of equipment to records volume;
  - (h) security when limited access is necessary.[1/]

1/ Files Equipment and Supplies. Washington, D.C., National Archives and Records Service, 1981, p. 2.

- At the present time, standards for registries and file rooms should continue to be based, depending on available space, on 5-drawer metal vertical file cabinets with drawer compressors, and on shelf files (which allow 21% more filing space than a 5-drawer cabinet in the same floor space), open or enclosed as dictated by need for security and protection from dust and similar hazards; file folders for subject files should be heavy kraft, single position, centre (or off-centre) cut, with self-adhesive labels; pressboard file dividers with metal tabs for insertable labels, and pressboard charge-out guides with acetate pocket for insertion of charge-out slip where appropriate and attached folder for pending material; safe cabinets with 1-hour fire protection insulation and combination locks, for security classified material, legal instruments and other valuable material; and specialized equipment to house particular formats (computer printouts, magnetic tapes, microforms, cards, plans and drawings, etc.).
- Basic types of filing equipment and supplies should be standardized insofar as possible to present a neat, uniform appearance, have common dimensions, utilize standard accessories and have flexibility for transfer to other offices and other locations having similar types of files. Standardized dimensions, such as width of shelf file units and storage cabinets, number of shelves per unit, and number of drawers per file cabinet should be used to enable rapid calculation of holdings.
- File folders should be selected in accordance with purpose and prospective use. Folders are graded by weight points and type of material (the cost increases in order of weight):
  (a) manila (9.5 points) for temporary files and transmittal of papers;
  (b) kraft (11 points), normally the ideal general purpose folder for general office files that receive average reference use and are retired or destroyed;

(c) kraft (18 points), heavy duty or archival type folders that are used frequently over long periods of time (5 years and longer);

(d) pressboard (25 points), that are suitable only for records that are bulky and in constant use over long periods of time, e.g., individual personnel folders, individual payroll folders, loan or project case files.[1/] Folders (b) to (d) should have preinserted prong fasteners (2 hole) of metal or heavy plastic.

- Personnel folders should be pressboard with two internal dividers for compartmenting different types of information; metal prong fasteners should be preinserted by the manufacturer in a different position in each compartment to avoid bulking.
- Documents or archives boxes should be insect-resistant and acid-free, and record centre cartons should be double-walled for durability, ready access, and protection of records.

3.2.2.3 Control of Assignment of Filing Equipment and Supplies

Approval of requests for additional filing equipment and purchases of special filing supplies and nonstandard equipment is required by some agencies, but most UN agencies take no direct action in the matter, giving the reason of lack of sufficient qualified staff. In effect, this is one of the most potent means available to records managers to contain mushrooming files, get rid of unnecessary duplication--particularly accumulations of documents and issuances, accelerate transfers and disposals, discourage improper use of filing equipment, and, especially, to keep informed of current files status and trends in offices. Because of the propensity of staff members to put overflowing files--both binders and stacked folders--on shelves, such clearance should include bookshelves and storage cabinets.

Under these arrangements, firmly enforced, the Procurement office forwards all requisitions for records equipment and supplies (other than ordinary

1/ Files Equipment and Supplies, op. cit., pp. 38-40.

stockroom requisitions) to the Records Management and Archives unit for clearance, and defers all actions or negotiations until approval is received. For its part, the Records Management and Archives unit undertakes to make prompt personal visits to the requesting office to assess the need and the appropriateness of the unit requested. Often transfer of semicurrent and noncurrent material can be effected or exchanges of equipment made within the requesting office that will provide space for current material within present equipment; the investigations occasionally reveal certain existing equipment to be superfluous or inappropriate, resulting in their return to stock or exchange. As to requests for new equipment to accommodate new types or formats of files, the records manager may be able to suggest more suitable housing, and in anticipation of additional similar requests (e.g., for computerized or microform records) may select a standard model for that purpose.

With regard to the control of assignment of filing equipment and supplies:

- In cooperation with the Procurement office, all staff requisitions for additional records equipment, including bookshelves, from stock, and for the purchase of special filing supplies and equipment, should be forwarded promptly to the Records Management and Archives unit for clearance. A personal investigation by a records management officer to the requesting office should follow to see if space for current material can be made by transferring noncurrent or semicurrent records to the Record Centre/Archives, by reorganizing files, or by eliminating excess nonrecord material.
- The appropriateness of special filing equipment requested should be considered in relation to its functional effectiveness and whether it might suggest selection of a standard unit to house new types of files.
- On the basis of its experience in assigning equipment, and its overview of office filing systems, the Records Management and Archives unit should make recommendations to the Procurement office concerning projected

equipment requirements in connection with each year's budget preparation (including a contingency allowance for unexpected developments).

- Standard types of filing equipment for basic office furnishings (including bookcases and credenzas), assigned to staff according to rank and function, should be determined in consultation between the respective heads of the Procurement or Office Services unit and Records Management and Archives unit. Provision should be made for handling extraordinary requirements as they occur.

3.2.3 Vital Records Programmes and Security Copies

3.2.3.1 Precautions to ensure continuing availability of agency documentation and essential operating records in the event of a disaster have been taken by a number of UN organizations, but with varying degrees of coverage. At least two specialized agencies with extensive financial resources and worldwide transactions--the World Bank and the IMF--have formal vital records programmes, which are coordinated and managed by their respective Records Management and Archives units. UN headquarters in New York and certain other specialized and similar agencies and UN bodies have selective systems for depositing security copies of historical records in other locations, including overseas. These are sometimes administered by other offices than the Records Management and Archives unit, however.

3.2.3.2 "Vital records" are those deemed essential to reconstruct and continue operations of the agency and to protect its organizational interests in the event of a disaster or an emergency affecting the conduct of business at the headquarters site. Such records, which are generally designated by a management committee constituted for the purpose, consist principally of financial ledgers and supporting records relating to financial resources, functional transactions and obligations, and records relating to the agency's legal and financial responsibilities in essential administrative matters, including basic personnel service, payroll, benefits and pensions data; legal instruments, including the

agency's charter, by-laws, rules and regulations, membership documents, and agreements with the host government and other organizations; and minutes and major document series of its governing bodies, as well as other historical documents deemed relevant. For reasons of space and security, vital records are generally held in microform, supported by selected historical ("grandfather") magnetic tapes of financial transactions in effect, and convenience paper copies of basic information, such as the charter and by-laws, latest personnel list and payroll listings, organization chart and telephone directory, and selected document printed indexes, as appropriate. The repository should be provided with a list of agency officials entitled to have access to financial and administrative information and to conduct business in an emergency.

Security programmes generally comprise accumulations of by-product microforms prepared for other purposes and copies of basic documents deliberately microfilmed which are stored in an outside location (often a field office or another organization) as a safeguard against damage or loss of the original records. Such deposits often contain cultural, scientific or informational documentation (although they may also contain internal administrative data) which does not specifically relate to institutional obligations and continuity. Such material can, however, be attached to a vital records programme, if desired. Security programmes are not intended to replicate publications and widely disseminated material that can be readily reconstructed from other sources when needed.

A distinctive feature of a vital records programme, in contrast to a security programme, is the procedure in effect for keeping the information current, including regular transmittals to the repository of data and copies of current documents at weekly, biweekly or monthly intervals, and for the return of designated obsolete or superseded data to headquarters for disposal. This includes replacement of current fragmented data by cumulated year-end accounting records, periodic replacements of staff and administrative data which contain

up-to-date postings, and long-term recapitulations of documentation series on roll microfilm, which contain supplements, corrections and addenda.

Although roll microfilm is the most convenient type for security storage, duplicate copies of the regularly produced microfiche are used, while other designated vital records series are microfilmed by the Records Management and Archives unit as necessary. COM microforms are supplied, whenever possible by the offices concerned, for computerized financial and personnel records. Duplicate magnetic tape reels are also furnished and replaced as necessary to keep essential financial and project information current.

The choice of a repository for a vital records centre or for a security programme involves (a) location in a secure and physically suitable environment outside of a large population centre within an accessible perimeter of the headquarters site; and (b) availability of necessary staff services for deposit of new material and return of obsolete data and emergency support services, such as electricity (preferably with stand-by generator), and other utilities, telecommunications facilities, customary office services, microform reader-printers and, if possible, access to compatible computer services, as well as temporary staff accommodations. For this purpose, certain organizations utilize space in commercial or government underground records storage centres, which provide supporting services, or alternative repositories which provide required services suitable to agency needs. Agencies which have security programmes rely on branch offices or related organizations in other localities for stand-by custody or an underground storage center.

3.2.3.3 With regard to vital records and other security programmes, it should be noted that:

- Such programmes should be conducted as an integral part of the Records Management and Archives unit's responsibilities. In international agencies that have, in particular, major financial resources and transactions with Member States or other organizations and corporate

bodies in world markets, a vital records programme is specifically geared to ensure continuity in the conduct of business in the event of a disaster or emergency at headquarters.

- Vital records procedures should include preparation of a distinctive system of arrangement and coding of those record series designated by management as essential; selection of a repository at a suitable offsite location having adequate facilities for custody and use of the information when needed; and maintaining controls of deposits and of return of obsolete data at both headquarters and the repository.
- Current maintenance of vital records should include transmittal of new material to the repository at regular intervals (no longer than monthly), as well as updating temporary deposits of convenience information and replacement of fragmented series of documentation and cumulative records by long-term recapitulations, including administrative data subject to continual posting.
- The deposits should consist chiefly of microforms to save space, supplemented by selected cumulative historical magnetic tapes (replaced periodically), and by convenience copies of selected printed basic documents and current personnel listings, telephone directories, documents indexes and similar quick-reference material. COM microforms of computerized data and duplicate microforms of documentation should be supplied by the offices concerned; the Records Management and Archives unit should microfilm other documents included in the programme.
- Security programmes, which consist chiefly of by-product microforms of agency documentation and other information assembled principally for cultural purposes, should be maintained by branch offices or related organizations under procedures established and administered by the headquarters Archivist.

4. CONTROL, APPRAISAL AND DISPOSAL OF RECORDS: THE BRIDGE BETWEEN RECORDS MANAGEMENT AND ARCHIVES ADMINISTRATION

Records management has been defined as that area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and the disposal of records.[1/] At the present time, records management is practiced in varying degrees in most UN agencies. Nearly all agencies have procedures for the transfer of semicurrent and noncurrent records to a central repository, or at least to the central Registry, of records no longer essential for current reference in offices. Most agencies have some degree of scheduling of regular transfers of recurrent records. On the other hand, the contributions that should be expected from a modern records programme are inhibited by the lack of professional archivists/records managers able to make informed appraisals of records, which is the core on which management of the life cycle depends.

In applying the life cycle concept, records management must anticipate the end result from the time of records creation. Thus, certain methods--the record survey to determine the composition and rate of accumulation of agency holdings, schedules and disposal lists for different types of record series according to their purpose and reference value, appraisal--preliminary and final, and maintenance of a record centre/archives--are applied as records progress from initiation to interim custody as semicurrent, to destruction, or to selection as worthy of permanent retention. The transitional nature and use of these tools are the subject of this chapter.

4.1 RECORD SURVEYS

4.1.1 Record surveys generally fall into three types:

(a) periodic agency-wide surveys and listings of all record holdings for the purpose of identifying and accounting for records and other informational material wherever located;

1/ Unesco/ICA. International Glossary of Archival Terminology.

(b) special surveys in preparation for moves to new quarters or change-over to a new filing system;

(c) ad hoc and on-request spot surveys to institute files reorganization and revamping to meet current needs, to relieve space congestion, or to accommodate changes in organization or function.

The first type is carried out by only a few agencies and is sometimes selective as to organizational sectors covered. The second is common to all agencies to eliminate unnecessary transport of excess material while at the same time curbing the impetus for destruction of records by offices without recourse to archival appraisal or guidance; it may also accompany installation of new filing systems. The third is carried out in varying ways by a number of agencies: by registry supervisors, who adjust decentralized files arrangement to accommodate new material or changes in function; by records management and archives staff for the purpose of establishing schedules for transfer of recurrent records and to eliminate accumulations of unnecessary nonrecord material and also, with registry assistance as appropriate, advise on the reorganization or updating of working or office files systems not under central control. "Nonrecord" refers to material excluded from the definition of records, such as unofficial copies of correspondence and documents that are kept only for convenience or reference, material of ephemeral value, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition.

4.1.2 A record survey is the first step in implementing a records programme. It is the source of data on the volume and location of agency record holdings, and provides the means for calculating the rate of accumulation and for forward planning. It forms the basis for establishing schedules for recurrent record series and for establishing guidelines for retaining working files and other informational material. In particular, it identifies and describes record holdings other than centralized files and those housekeeping and programme files

that are already known to the Records Management and Archives unit, but seldom in full dimension. Staff working files, special project and functional files, security files, and spontaneous accumulations that might otherwise fall into oblivion or frustrate research until discovered are brought to light and described in consistent detail. This is the data that often belies the confident statements of records officers that "all" records are under schedule. Without a record survey, how do they know?

In order to gain organizational credibility and management support, it is essential that an administrative or executive circular, signed by the head or deputy head of the agency, be distributed throughout the agency to announce the survey, describe its purpose and procedures, request staff cooperation, and set out time limits for completion and for submission to management of a final report on the results (and an interim progress report if desirable). This should be followed by establishment by the records management staff of a schedule of visits to each department or major office to explain procedures to the administrative assistant or person designated as liaison for the purpose, who would be charged with distributing survey forms to each separate unit and coordinating returns.

Ideally, surveys are most informative when conducted personally by records management staff in accordance with a systematic plan, but, in practice, a general survey of an agency with a staff of over 300 to 500 must depend on circulation of a printed form. The form provides space for enumerating each record series or class (for which representative titles are suggested), with inclusive dates, number of file drawers or shelves (which elicits more reliable measurements than staff-calculated linear measurements), and, where indicated, calling for an attached list of file categories or folder headings (see Figure 2). Office staff should be encouraged to consult the records management staff as necessary. The returned forms are given a preliminary check prior to intensive analysis in order to highlight situations that

require immediate action, such as prospects for transfers and disposal, including caches of dormant files left behind by separated staff or staff on long-term missions, excess accumulations of nonrecord material that should be eliminated as soon as possible, as well as instances of misused filing equipment.

4.1.3 In regard to record surveys:

- Periodic record surveys at approximately five-year intervals (three in agencies with staff up to 500) are needed to acquire knowledge of total agency record resources as a tool for planning and for evaluation of current procedures. Printed forms should be circulated for the convenience of organizational units to elicit consistent data. Assistance in completing forms should be given by the records management staff as well as by departmental administrative assistants or other staff coordinating replies.
- Response to problems uncovered by record surveys and to requests for ad hoc surveys should be followed up as quickly as possible to achieve records management objectives and to encourage staff reliance on the Records Management and Archives unit in finding solutions to their problems.
- Reference to the survey forms should be the starting point in investigating requests for additional equipment by offices, in order to provide leverage in negotiations for elimination of nonessential material. Those investigations also serve to update information in the survey report.
- Data accumulated or extracted from survey forms should be tabulated by word processor or other automated means whenever possible to reduce tedious clerical work and facilitate updating.

4.2 RETENTION AND DISPOSAL

4.2.0.1 The authority of the Archivist (or the head of the Records Management and Archives unit acting in that capacity) to inspect records in offices and to

conclude agreements with responsible officials for the purpose of establishing schedules and other disposal actions is normally laid out in agency Administrative Manuals. A few Administrative Manuals contain schedules for disposal of common types of housekeeping records (e.g., WHO and IAEA). They often do not specify, however, the period at which those records should be transferred from offices to the record centre/archives for intermediate custody.

Disposal authorizations are of two kinds: "schedules," which apply on a continuing basis to recurring record series, and "disposal lists" (sometimes referred to as "special disposals"), which apply to one-time authorizations relating to records no longer being created, such as discontinued programmes, records of a body that has completed its task, or material prepared and assembled for a particular purpose.[1/] Officials who may sign disposal authorizations on behalf of the originating department must have authority for the function and carry a rank no lower than division chief or the equivalent. Schedules are usually arranged functionally to bring together record series, regardless of office of origin, that serve similar purposes--financial, personnel, legal affairs, regional offices, etc. In larger agencies, there is also a need for a supplemental organizational listing in hierarchical order, or it may be desirable to have a combination of organizational and functional arrangement. Schedules need to be amended promptly to reflect organizational, functional, and major design changes. (See Figure 3)

Working and convenience files accumulated by professional staff or offices,which contain chiefly duplicates of correspondence and records, drafts, work sheets, printed documents, ephemeral memoranda and transmittals, and informational material, are handled under regular schedules by some

1/ Disposition of Federal Records. Washington, D.C., National Archives and Records Service, 1981, p. 38.

agencies, and as "nonrecord" material not requiring formal authorization for disposal in others. In a number of instances, such accumulations may contain random archival items or occasional copies bearing significant notations, so that weeding is essential before destruction. For that reason, they are included in schedules in larger agencies to assure their transfer to the record centre/archives or registry where they will be weeded by trained staff before destruction. An alternative method used to appease staff who have a proprietary interest in their accumulations and are reluctant to part with them is to transfer and hold such material in the record centre/archives for two years to acquire proof as to whether further retention is indicated; then, after weeding to remove any archival material for integration with the central registry or relevant functional file (which usually amounts to no more than three or four random documents, if any) destruction is approved upon signature by the staff member and the Archivist of an authorizing form. In all transfers, close and continuing personal contact between office staff and records management staff is necessary.

Cut-off dates ("file breaks") for retention of files in offices have been recommended and are in effect in several agencies with varying degrees of compliance. Three years have been found to be the most agreeable time period for this purpose because many offices consider two budget years or two project years prior to the current year are required for reference. Some agencies find a two-year rule suitable, however.

A problem that holds potential harm and embarrassment for agency reference and could result in the irreparable loss of important records arises from the zeal of administrative officers who unilaterally assume responsibility to make space and create order in messy offices. In one agency that does not have a professionally trained archivist having the necessary authority, the Administrative Office circulated a notice ordering staff to destroy records over 10 years old to save space. It may be assumed that the archives, comprising the central Registry, the printed archives in the custody of the

Library, and basic financial, personnel and administrative records retained in the offices of origin, were exempt from that order. However, leaving the decision of what should be destroyed to office staff who are unaware of reference needs other than their own and have no training or established criteria for distinguishing between archival and other records is a dangerous precedent that may have unforeseen consequences for administrative continuity.

4.2.0.2 In a Working Paper discussed at the Eighth Session of the ICA/SAIO (New York, 4-6 May 1982), reference was made to often-encountered attitudes of staff who are reluctant to part with records that mirror their work, to those who throw away records as "useless" after having finished with them, and to those who retain working files and duplicate records as their personal property to be taken with them when they leave the organization.[1/] Continuing efforts must be made through personal contacts with staff, file audits and similar investigations to counter these attitudes.

4.2.0.3 With regard to retention and disposal:

- A systematic review, based on a general record survey and supplementary personal investigations, should be made of all housekeeping and other recurring record series to establish schedules for their transfer and disposal on a regular basis.
- The UN Archives at headquarters in New York should make available to all UN organs and, on request, to specialized and similar agencies copies of its schedules on common types of records, particularly in the administrative area, to provide precedents and models for adaptation or use, subject to appropriate statutes of limitations, and also as a means of convincing doubtful officials of the normalcy of such procedures.[2/]

1/ "Problems relating to transfer and disposal of records," by Ursula-Maria Ruser (UN).

2/ This would be somewhat analogous to "general records schedules" for common types of records prepared by a national archives institution for mandatory application, with allowances for flexibility, by government agencies. See Disposition of Federal Records, op. cit., pp. 28-29.

- Specialized and similar agencies should prepare their own schedules, although some may be based on UN headquarters schedules when appropriate. Major UN organs may use or adapt relevant headquarters schedules, with the understanding that there will be other record series that are peculiar to that organ and that among common types certain of them will vary in importance among agencies so that practices followed by one organ will not necessarily pertain to another. Thus, those organs should also compile their own schedules, indicating those types of records where UN headquarters authorizations will prevail, those where adaptations and modifications of headquarters schedules have been or need to be made in agreement with the office concerned, and those which apply exclusively to the organ and require specific authorizing agreements.
- Agency schedules or disposal lists should be established by agreement between the head of a major functional unit, such as a service or a division, and the Archivist or the head of the Records Management and Archives unit, according to agency procedure. Informal negotiations and preliminary agreement should precede preparation of the formal disposal authorization form for signature by the respective parties. Disposal authorizations for financial records subject to audit or which supply supporting evidence should be countersigned by the Internal Auditor and, if necessary, by the Controller.
- Schedules for files of duplicate copies of facilitative forms required for information by more than one office (e.g., purchase orders, travel authorizations) may be authorized for destruction when no longer needed for current reference on the basis of the existence of the original or of the copy which has the longest retention life (e.g., attachments to administrative vouchers).
- Guidelines for retention of nonrecord material, including convenience and working files, and accumulations of printed documents, publications, and other collateral informational material not retained as official files,

should be prepared and circulated for the information of office staff, when such material is not included in formal schedules.

4.2.1 Destruction Methods

4.2.1.1 In some cities regulations against pollution have eliminated burning as a means for destruction of records. The waste is instead often bulldozed into landfills. Consequently, precautions for obliteration of sensitive material must precede normal waste destruction, to prevent inadvertent exposure of waste paper falling from dumpsters or trucks, or attempts to reconstitute torn documents. Some agencies have facilities for compaction of waste before it is removed for destruction. Shredding is a common method for destroying sensitive or semisensitive waste. Some shredding machines cut paper into strips 1/4th to 1/8th of an inch wide. Since it is possible to reconstitute strips, newer types of shredders allow cross-cutting so that the result is unrecognizable. Larger security disintegrator machines can bias-cut materials so that they become miniature confetti that falls through a screen for complete obliteration. These machines are capable of destroying thick reports, microfilm on reels, microfiche, floppy discs, unburst computer printouts and bound manuals, whereas special shredders are generally needed for such materials. Destroying machines should be centrally administered by the office services or buildings management unit in accordance with procedures agreed by the agency's security officer and the Records Management and Archives unit.

Sale of paper for recycling is the method used by some large agencies having a high volume of waste paper when local facilities are available. The IAEA, for example, transfers its waste by dumpster direct to the processing plant. The World Bank also has waste paper hauled direct to a recycling plant. In both agencies separate canisters are installed in offices for separating papers for recycling from ordinary waste. Smaller agencies, however, cannot afford to store waste until the full truckload required by most processing plants has accumulated, or meet other requirements imposed by the recycling plant.

4.2.1.2 Some agencies require controlled destruction, whereby a representative of the agency or an archives staff member certifies to actual destruction. This practice is seldom practicable when destruction is by external means other than burning. However, personal certification may be given for in-house destruction by shredding or disintegration when necessary.

Destruction of waste by pulping, with the use of acids and other chemicals, was used for a while at UN headquarters but was discontinued as potentially dangerous.

4.2.1.3 With regard to destruction methods:

- Shredding of sensitive material should be performed centrally by agency staff and the residue securely bagged in opaque containers for disposal. In exceptional cases, when an auxiliary building is allowed to have a separate shredder, destruction should be under strict control of building services, in cooperation with the Records Manager/Archivist and the agency security officer.
- Shredding should be to the smallest permissible width and cross-cut to avoid possible reconstitution. Disintegrators, which reduce material to microdots, incapable of reconstitution, and which can accommodate thick documents and non-paper material, are an alternative to shredding in larger organizations.
- Compacting is an effective means of reducing loss by paper spills, but it cannot be considered a reliable means of destroying sensitive material. Therefore, highly classified material should be shredded beforehand to ensure obliteration of the text.
- To ensure highest security, executive offices should be instructed to send very sensitive material in double envelopes or sealed cartons by courier or special messenger to the Records Management and Archives unit for monitoring their destruction.

- Other confidential waste should be sent in envelopes or cartons to a designated central point for destruction. Care should be taken that such material is not allowed to accumulate in basement corridors or other open access areas while awaiting destruction. Offices that have a large volume of confidential waste, such as computer printouts, should make special arrangements with the messenger service for direct pick-ups for delivery to the destroying machines, which should be placed in a controlled location. Security lapses, such as throwing correspondence in the wastebasket or removal of documents and correspondence from the building should be promptly reported by messengers or cleaning staff. Ordinary wastebasket contents that are removed by the cleaning staff should be bagged in opaque containers and securely fastened before depositing in trucks or dumpsters for hauling away, to avoid the possibility of inadvertent exposure of loose papers outside the headquarters building.
- Sale of waste paper for recycling should be arranged as a conservation measure when feasible. Precautions should be taken that sensitive material is excluded beforehand or given special treatment to ensure security.
- Destruction of microfilm, photographic negatives and metal plates should be subject to recovery of any reusable materials (such as silver and other metals) if the savings are worthwhile.

4.3 APPRAISAL CRITERIA

4.3.0.1 The objectives in defining the qualities and characteristics of records designated for long-term or permanent retention are similar in all agencies. In some agencies, however, the archives comprise material "deemed" to be archival rather than specifically analyzed for uniqueness, credibility as a reliable source, completeness, and understandability. Even so, those records are

appraised in terms of their relationship to other agency records and their accessibility.

Appraisal criteria applied in UN agencies generally take into account:

(a) type--administrative and housekeeping, and other recurrent routine records, and case or project files, which have limited continuing reference value for varying periods, according to administrative, legal and informational needs;

(b) content--records having evidential and informational value are generally to be found in registry files (centralized or decentralized), other central subject files, programme and substantive files at major organizational levels, and in the records of the head of the organization and senior officials; these records are usually considered to comprise the archival correspondence files when weeded of duplication and material of transitory value only;

(c) historical documentation--formal instruments, including membership documents, agreements with other organizations or governments, and other legal documents; minutes and documents of the principal bodies of the organization, proceedings of conferences and meetings, minutes and reports of working parties, task forces, internal functional committees and inter-agency groups; directives, annual reports, budgets, financial and audit reports, and other evidences of the origin, structure, functions, activities and operations of the organization;

(d) physical properties that require special handling in addition to the evaluation of their archival value--sound recordings, photographs and other audiovisual media, machine-readable records, microforms, cartographic, architectural and engineering drawings, and printed archives.

The guidelines in appraising substantive records define "evidential value" as the value of records in documenting the origins, structure, decisions of the

organization, its programmes, policies and procedures, its performance of substantive functions and management and work processes. "Informational value" is defined as their reference and research value because they contain unique data on persons or corporate bodies, events, problems, conditions and places with which the agency dealt. Thus, the appraisal process gives particular attention to directives, organizational charts, annual reports, agency histories or commentaries, speeches, publications, programme correspondence, budgets, audit and inspection reports, statistical summaries, legal opinions and executive decisions, handbooks and manuals, and minutes of staff and advisory group meetings.

Some other criteria involved in selection are:

(a) age or rarity, which are considered in relation to the adequacy of other documentation or under the conditions for the period in which they were created and used, which enhances their potential value in understanding the past;

(b) volume--where large quantities are involved, records must be evaluated at the records series level rather than on a paper-by-paper basis or folder-by-folder basis. This is sometimes the justification for microfilming in order to destroy the originals, or for sampling, in order to provide a typical example of certain types of records (usually project and case files but also some administrative files) without preserving the total accumulation.1/

4.3.0.2 The subject files of central registries or central files and of file stations in the policy and programme area should be the mainstay of archival material, in addition to the chief executive, his chief assistants and special consultants (if not included in those files). Except for certain specified functions, which vary from agency to agency, important records generally rise to

1/ Brichford, Maynard J. Archives and Manuscripts: Appraisal and Accessioning. Chicago, Society of American Archivists, 1977, pp. 2-3.

the top, leaving working files and convenience files--largely duplicates and material of short-term importance--in the lower echelons. As a precaution against possible destruction of some important material at lower levels, without undue proliferation of minor accumulations, those files should be reviewed beforehand to permit transfer of any important file units to the registry, file station or departmental or other functional file containing the principal source material on which decision-making was based, except where a particular subunit is organizationally responsible for the primary retention of policy or action material in its functional or subject area and constitutes a distinct and complete subseries.

4.3.0.3 With respect to appraisal, it may be concluded that:

- Appraisal of records prior to their destruction and as justification for indefinite retention according to recognized professional criteria should be the policy of all UN bodies and specialized and associated agencies.
- Agency records may be appraised at as many as three stages:
  (a) preliminary evaluation of their functional value as semicurrent or noncurrent records, with respect to their continuing administrative, fiscal, legal and operational uses--this is the point at which schedules are established in agreement with the originating office and based largely upon that office's views;
  (b) archival evaluation of their evidential and informational value for long-term or permanent retention by the agency--this is the stage for the decision as to destruction, intermediate retention in a records repository until they have no further reference value, designation for permanent retention either in the original form or in microform, or whether a sampling of typical records will be sufficient evidence for archival purposes of certain voluminous types of records;
  (c) retrospective reappraisal after 10 to 20 years in terms of validity of original appraisal over time, reference use and relation to other records--this should be used carefully, however, to ensure

consistency and objectivity, particularly as regards historical records; shortening of periods for retention of administrative and other housekeeping records often reflect changes in business practices and statutes of limitations and changes in overcautious attitudes on the part of the offices of origin.

- In applying appraisal criteria, certain general observations may be applied to agency records:[1/]

  (i) considerations...in ascertaining values in records cannot be reduced to exact standards...standards should never be regarded as absolute or final;

  (ii) since appraisal standards cannot be made exact or precise, they need not be applied with absolute consistency--archivists may use different criteria in evaluating records of different periods as values change with time; archivists of different institutions may also use different criteria in evaluating similar types, for what is valuable for one may be valueless to another;

  (iii) appraisal standards should be applied with moderation and common sense;

  (iv) appraisals should be based on thorough analyses of the documentation bearing on the matter to which the records pertain--evidential value of records must take into account the entire documentation of the agency that produced them, not merely individual organizational units within the agency; informational value must take into account the social documentation of the subject matter, whether the records contain unique information, and if they are in a form that makes them valuable as a source of information.

1/ Schellenberg, T.R. The Appraisal of Modern Public Records. National Archives Bulletin 8. Washington, D.C., National Archives and Records Service, 1956, pp. 44-46.

4.3.1 Appraisal of Specific Types of Records

4.3.1.1 Technical Cooperation Records

Recommended for permanent retention by the ICA/SAIO are records describing:

(a) the initiation, development, implementation, management, supervision and evaluation of programmes and activities at the global, regional, national, inter-country, and sectoral and project levels;

(b) the cooperation and relationships between the organizations, governments, development institutions, non-governmental organizations and executive agencies involved in activities sponsored by international bodies and under multilateral and bilateral arrangements;

(c) the political contexts in which these activities were pursued;

(d) the major problems encountered and efforts to solve them;

(e) the general selection of experts and their performance in various technical fields;

(f) the action taken in the face of natural disasters, armed conflict and other major disturbances.1/

In regard to the recurrent elimination of records no longer needed for administrative, legal, and contractual reference purposes and of no potential research value, a retention period was recommended of five to ten years after the date of completion of the projects or activities concerned for records relating to day-to-day administrative, financial and personnel management, such as supplies, accounting, travel and leave, and other records of clearly ephemeral value. It was added that, as a practical matter, space considerations and reference use would indicate a much shorter retention for such routine records. In practice, most agencies would impose a retention period of no more than two to five years, depending on the type of records and local statutes of limitations regarding legal liability.

1/ Report of Fourth Session of the ICA/SAIO (Geneva, 10-12 September 1979).

4.3.1.2 Machine-Readable Records

In addition to the considerations of legal, evidential and informational value applied to paper and microfilm records, special criteria applying to machine-readable records are:

(a) whether they are accompanied by adequate textual documentation--as a minimum, a record layout and code book. If these are missing or cannot be reconstructed, the tape or similar record should be destroyed.

(b) whether the tape is readable, which must be determined by having the tape read by a computer. If more than five percent of the record is unreadable, in most instances the record should be considered unreadable.

(c) whether they contain nontabulated or nonaggregated data. This increases their potential for statistical manipulation and thus enhances their informational value.

(d) whether they contain a data element which allows them to be linked or merged with other machine-readable files.[1/]

Machine-readable records should be appraised at two stages: in a preliminary manner to identify records for potential retention as archives and to ensure that the tapes are not erased and reused, and a more thorough appraisal at the time the tape record is available for accessioning by the Archives.

4.3.1.3 Private Papers of Officials

Some organizations retain "private archives of individuals where such papers are a source of significant information on the organization and its work."[2/] As specifically defined by another agency, such papers include:

(a) diaries, travel notes and recollections of meetings or events personally prepared and retained by the official during his/her tenure;

1/ Seventh Session of the ICA/SAIO (Rome, 9-11 March 1981). Working Paper on "Archives as Recipient of Computer-Generated Records."
2/ FAO Manual, Chapter VI, Section 601, Maintenance and disposition of records, March 10, 1981, p. 4.

(b) studies, working papers, documents, publications, and speeches delivered outside the course of official duties or not published by the agency;

(c) records reflecting personal experiences in relation to the agency before, during, or after employment at the agency;

(d) records documenting or supplementing--as an original source--biographical data about the official and his/her activities outside the agency's sphere.[1/]

4.3.1.4 Personnel Files

Uniform rules for the preservation and disposal of personnel files (employment records) should provide:

(a) for the indefinite preservation of the personnel service files of officials of ranks carrying major management and administrative responsibility and of a representative sampling of files of other staff;

(b) that where there exist abstracts from personnel files of what may be considered essential data, such abstracts, whatever their form, should be preserved indefinitely for all staff.[2/] (See also Sec. 5.6.1)

This would not necessarily apply to personnel files of technical cooperation consultants and experts. Current practices vary considerably among organizations, in regard to the appointment and employment records of officials, some keeping them indefinitely and others for 30 or 40 years, or as little as six to ten years for medical records, after the date of separation from service. In UNDP essential facts of an official's career, such as nationality, previous employment, educational qualifications, languages, and functions, are maintained in machine-readable form, thus occupying minimum space, and, in the United

1/ World Bank. Records Management Division, Procedures Manual, pp. 31-33.
2/ Recommendations of the ICA/SAIO, Third Session (Geneva, 2-4 October 1978) on "Possible adoption of uniform rules of preservation, elimination, and access for the personnel files of officials," p. 2.

Nations, fact sheets similarly record such particulars in a compact form. This essential information would appear to meet the needs of future historical research, need not be restricted, and would be retained permanently. Unesco envisions keeping for 60 years or longer the records of officials from Chief of Division upwards, with sample files from lower categories.

4.3.2 Sampling Techniques

Certain series of records, usually bulky and extensive in coverage, are of archival interest mainly because of the fact of their existence, which may convey either an important picture of the agency's procedures for dealing with certain routine functions or otherwise help to illustrate or complement the internal structure of the function which has been analyzed or summarized in reports and statistical compilations. Such material is preserved by archival sampling, which involves selection either by statistical or random methods. RAMP guidelines for applying sampling techniques in the retention of records, both conventional (textual) and nonconventional (cartographic, audiovisual, and machine-readable), have been published and are available upon request from Unesco.[1/]

4.4 RECORD CENTRE/ARCHIVES

4.4.1 In nearly all UN agencies, the record centre, which in records management concept comprises the intermediate repository for semicurrent records having continuing value for limited periods, and the archives, which is the repository for noncurrent records of permanent or long-term value, are combined. That repository may be located in a separate room or series of rooms--not necessarily contiguous--in a main headquarters building, which sometimes affords office and working space and sometimes only storage space, so that the person in charge must go back and forth between the areas. Some repositories have windows (occasionally even an upper floor view) and others are in basement or similar enclosed areas; one has a double-deck catwalk level to increase space; still

1/ Hull, Felix. The Use of Sampling Techniques in the Retention of Records: A RAMP Study with Guidelines. Paris, Unesco, 1981. 64p. (PGI-81/WS/26)

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others are located in separate buildings from which they service multiple scattered headquarters buildings; and at least one has a supplemental rental warehouse in a lower-cost building where less active records are held pending their destruction.

4.4.1.1 Procedure

(a) The accession report is the basic tool of a record centre and an accession or records transfer form is common to all agency record centres, regardless of other variations in procedures and characteristics of the material. Large agencies that are widely scattered among many buildings, such as the UN Archives in New York and the World Bank, have a preliminary request form, which precedes transfer of the records (see Figure 4). Other record centres which are located in the main headquarters building are generally notified in advance by telephone of impending transfers; a personal visit to inspect the records, when they are not recurrent material periodically received, often follows to estimate the volume and type and number of record centre cartons required, and to determine if a list of contents is necessary (or obtainable) for possible reference use.

(b) Record centre cartons are generally sent to the transferring office for packing, unless the format indicates otherwise (such as vouchers in binders that will be shelved, financial ledgers, card records, magnetic tapes), and where feasible, should be accompanied by a contents list. When the cartons are received (sometimes the contents are disarranged and have to be put in order) the accession report is prepared; the shelf list locator is checked in order to make a space assignment, and row and shelf identification entered on the carton labels, the accession report and the shelf list. A preliminary appraisal is usually given on the accession report, which also contains information as to restrictions on use imposed by the transferring office, finding aids (occasionally these are retained in the originating office which

retains sole reference access and requests its records by number--e.g., administrative vouchers and purchase orders). Accessions are assigned a number (usually year and serial number), either in a register or in sequence from the master file of accessions, and a copy of the report is maintained for working purposes by the appropriate organizational unit (department, division, section, unit arranged in hierarchical order) for reference, and a copy sent to the originating office. Larger agencies also maintain a subject reference index where required. The disposal date or review date is entered on the carton labels. (See Figures 4 and 5)

(c) The chronological "tickler" or reminder card file covers each disposable record series transferred to the repository, and indicates the date on which it becomes eligible for recurrent transfer and for authorized destruction. Two weeks in advance of authorized destruction a form is sent to the office concerned advising that, under the quoted schedule, the records described will be destroyed on a given date unless the office shows a valid reason for delay. The tickler also highlights the review date assigned to other staff or office working and convenience files (mostly nonrecord material), which are being held for an agreed period prior to disposal, and to material requiring a formal disposal list.

(d) Space rationalization in some agencies is made by blocking off rows for certain types of rapidly recurring and voluminous types of records. In time, however, new accessions outpace disposals so, unless an unwarranted amount of space is to be immobilized for that purpose, the centre has to resort to scattered placement of continuing record series (occasional moves and realignments of holdings may allow separated records to be reunited). A few agencies use a word processor or computerized shelf lists to highlight empty space and to predict space requirements for routine periodic accessions, so that space assignments can proceed more smoothly.

(e) Archival material is located separately, preferably in a room apart. Some agencies distinguish archival material from time of receipt by putting it in final containers--file cabinets, stacked steel transfer cases, enclosed shelf cabinets, or in documents or archives boxes on steel shelving instead of in record centre cartons.

(f) Servicing of requests for files or information contained in record centre holdings begins with referral to the description in the accession report and the folder or contents listing attached to the report, and also, in some cases, to the container. All requests are recorded on the unit's standard request form.

(g) Authorized destruction is carried out in accordance with established procedures, and the destruction date is recorded on the tickler card and the accession form.

4.4.1.2 One characteristic common to most record centres/archives is that, except in a few notable cases, they are uniformly drab. Many are patently inadequate as to space, equipment, and working facilities, as well as staff. Some agencies have personnel policies that require compensating office decor (bright wall paint, attractive furniture and equipment, etc.) for inside space as a morale-builder for employees, and this policy should be extended to both the working areas and storage areas of record centres/archives. The dreary aspect of those quarters is too often symbolic of the lack of understanding and consequent low esteem accorded records and does not encourage the calibre of personnel or performance that are essential to carry out the responsibilities involved, nor does it reflect the importance of the function.

A few UN agencies have no record centre or archives. Noncurrent files are accumulated in the Registry, transferred there from decentralized offices, at their discretion. Presumably, decentralized records of long-term or archival quality, such as financial ledgers, personnel records, etc., are also retained in those offices indefinitely, but there is no assurance of their retention when space is lacking. In some UN bodies there is a separate records

retirement unit, within the Registry, which operates a repository for semicurrent material transferred principally at the initiative of offices and subject largely to the disposal evaluation of those offices (e.g., Records Retirement Unit in the UN Office in Geneva and in ECLA).

4.4.1.3 From these conditions, it may be concluded that:

- The purpose of a record centre/archives is to provide, in less expensive space and equipment than is possible in prime office space, a central repository with trained custodial and reference services for records that are no longer in frequent active use but which have continuing institutional value for varying periods consistent with their type, content and use. As a result, reference to current information retained in offices will be facilitated and unimpeded by having to search through superseded or irrelevant material to find what is needed, scarce office space and expensive equipment geared to immediate retrieval will be released for current needs, and office staff will be able to perform more efficiently.
- Record centres/archives should be recognized as an essential ingredient of all agency records programmes. They should be provided with adequate space, equipment, and staff to meet the agency's needs, and should be maintained by trained paraprofessionals under the general supervision of a professional records manager/archivist.
- When the repository is in a separate building, at a distance from the main headquarters building, a "staging area" should be designated in the main headquarters building or appropriate satellite building for assembling accessions over a weekly or other suitable period to facilitate transport.
- Working files, left behind by staff on long-term missions or secondments, should be transferred to the record centre/archives for temporary custody until the staff member's return, in order to release valuable office space. A time ceiling of three years, or separation from service, if earlier, should be allowed before destruction, following weeding as appropriate, unless there is valid reason or special request for extension.

5. ADMINISTRATION OF MODERN ARCHIVES

The Archivist of an active agency has the opportunity to influence the development of records from the time they are created instead of having to wait until they are finally transferred to the record centre/archives to deal with them. As a practical matter, that Archivist seldom has sufficient staff, time and other resources to devote to intensive review and arrangement of disordered files. The extensive volume of records generated within agencies has sometimes resulted in archival accessioning of large quantities of records of dubious value because of scattered "treasures" known or suspected to be included therein or in resorting to the expense of microfilming complete record series to ensure their preservation without having to physically examine and appraise the material in detail. It is, therefore, the responsibility of an agency Archivist to intervene whenever practicable in the planning and maintenance of current files that have potential archival value because of their organizational or functional significance, or to arrange to highlight important material at an early stage, in order to avoid or to reduce the need for extraordinary processing and undue delays in making those record series accessible for reference and research at their final stage.

The change in the purpose and use of records after they become archival is accepted fact. At that time the functional use by the office of origin, which seldom needs to refer to its noncurrent records again, is replaced by use by other organizational units--legal, management or research, for the most part--for analyses and evaluation of policies, procedures or subject matter, searches for precedents and evidences of action or nonaction, and historical research. In addition to institutional uses, there are also studies made by researchers and scholars from outside the agency when the records are opened to public or specially authorized access.

This chapter describes some of the main concerns and responsibilities entailed in the custody of archives and in providing access to their contents.

In that connection, definitions of frequently-used archival terms are given below.[1/]

- Record Group. A body of organizationally and functionally related records established on the basis of provenance with particular regard to the administrative history, complexity, and quantity of the records/archives of the agency, institution or organization involved. Also known as Archive Group.
- Subgroup. A body of records/archives within an archive group, fonds or record group, usually those of a subordinate administrative unit.
- Record Series. Items or documents arranged in accordance with a filing plan/system or maintained as a unit because they relate to a particular function or subject, result from the same activity, have a particular form, or because of some other relationship arising out of the circumstances of their creation or use.
- Subseries. Items or documents within a series readily separable in terms of filing arrangement, physical class, type, form or content.

5.1 TRANSFER AND ACCESSIONING OF ARCHIVES

5.1.1 The main sources of records of archival value are:

(a) direct transfers from senior officials and from departmental and other major organizational echelons;

(b) transfers from the central Registry or designated file stations;

(c) transfers from the record centre (intermediate repository) of those records preliminarily appraised as having archival value;

(d) records of abolished or suppressed agencies.

A problem that confronts all agencies stems from the deliberate or inadvertent removal of records by officials and staff of the organization. Although Administrative Manuals and other agency directives distinctly enunciate

1/ Unesco/ICA. International Glossary of Archival Terminology.

the principle of inviolability of records, most Archivists can cite instances of violations of that rule. On occasion, only the vigilance of the Archivist has saved for the organization the records of executive heads and certain senior officials. Some officials collect records, or copies, with the intention of writing memoirs, or books based on agency subject matter or experience, or for background in other employment.

One method aimed at averting such losses, in practice in some agencies, is by a system of routine notifications (on a printed form) to the Records Management and Archives unit, as well as other offices concerned, of prospective staff separations. On receipt of such notification, a records management officer will immediately contact the departing staff member to explain agency regulations and to ascertain what type of material, if any (such as internal research files and reports prepared by the individual), may be contemplated for removal. Although approval for taking away material is generally confined to published material in reasonable amounts (for which limits may be set), in certain cases the Records Manager/Archivist may allow release of personal memorabilia or seek guidance from a senior officer concerned as to releasing specific documents, as long as it is within the framework of general policy and procedure.

5.1.2 The accession report initially prepared by the record centre, with related detailed contents listings and any other finding media prepared by the originating office, often serves as the principal source of information regarding archives until such time as the archives staff has time to further describe the material and prepare descriptive inventories and other archival finding aids, as necessary.

This presents a question as to when--or whether or not it is necessary in smaller agencies--to make formal distinctions in identification and reporting between record centre and archives accessions. In larger agencies--particularly those with a complex organizational structure and a diverse range of interests and functions, traditional archival procedures are followed. That is, archival

accessions are assigned record group and subgroup symbols (usually mnemonic) according to the major departments and offices of origin, and serial numbers are assigned to each record series and subseries thereunder. This may occur when the accessions are initially received but, in most cases, the accessions are initially assigned a regular record centre/archives accession number (by year and serial number) and, after subsequent final appraisal, are reassigned the archival accession symbol. In other agencies, a more informal mariage de convenance exists, using a single accessioning procedure but with archival material treated as record centre/archives holdings having permanent value. Thus archival material continues to be identified by the original accession number, at least as an interim measure, but its status is clearly indicated by separate placement, and often by different file housing, and grouping together according to office of origin.

The separation of archives accessions from record centre holdings is subject to both practical and philosophical considerations. Volume, subject matter and organizational scope, reference need, including access to outside research, and staff availability to make the special inventories and finding aids and undertake final arrangement, boxing and labeling, are prime factors in working out the appropriate procedure.

5.1.3 Regarding transfer and accessioning:

- Every means possible should be taken to create staff awareness of the principle of inviolability of an agency's records and of the staff members' responsibility not to remove records from agency custody or to dispose of them in any manner without specific authorization of the Archivist or head of the agency, in accordance with agency directives.
- Mandatory transfer of semicurrent and noncurrent records to the record centre/archives, together with any finding aids prepared by the originating office, is required for archival appraisal prior to disposal.
- Regardless of whether or not record centre (intermediate) and archives (permanent) holdings are in the same repository and serviced by the same

staff, clear distinction should be made as to which holdings belong to each category. Separate custody arrangements and reporting standards for the archives of smaller agencies may not be practicable, as regards availability of trained staff, volume of material, scope of subject matter, reference facility and physical location.

- The characteristics of an agency and its organizational structure, methods of operation, including the interdependence of organizational units in the policy and decision-making process and in carrying out agency objectives, together with the existence of centralized filing systems for substantive records, may favor an integrated or a "total information" approach based on function or subject in some agencies rather than the strict application of traditional archival principles based on organizational pattern in agencies which have more stratified functional structures. Thus, some specialized agencies with more integrated functions and interrelated lines of authority, such as IAEA and IMF, use the total information approach, while large comprehensive agencies, such as UN headquarters, Unesco, and FAO, with their diversity of scope and compartmentalized organizational structure along functional lines, prefer traditional practices.

5.2 RECOVERY OF ALIENATED OFFICIAL RECORDS AND ACQUISITION OF "PRIVATE PAPERS" AND RELATED NON-INSTITUTIONAL ARCHIVES

When alienated records, including individual items, are restored to the originating organization after a hiatus in custody, their former status and filing place within a record group and record series should not be restored ipso facto. After determination of the originating office and record group, such records should be placed separately but next to, if possible, the related records, and cross references should be inserted in all relevant finding aids and in the original filing place.

The acquisition of "private papers" of former heads and senior officials of organizations or persons who played a prominent role in their history has been a

problem area, as indicated in the Guide to the Archives of International Organizations (preliminary edition). The situation is not unlike the experience of national archives institutions, where former officials or their heirs have deposited with or sold their papers to national libraries, historical societies, universities or private collectors. For those UN archives units seeking to maintain coordinated and convenient research facilities for their own organizational needs as well as for outside researchers, microfilm copies of these collections can often be made available. If necessary, the cost can be defrayed by the repository institution, the family, as a public service, or possibly through private foundation support. Gifts, purchases, and loans (whether for specific or indefinite periods or in order to allow the organization concerned to microfilm the collection) should be recorded in full detail so that the respective parties will have complete evidence of ownership or of the terms of agreement. A gift requires a certificate legally transferring title; gift and loan agreements and receipts should state the relationship between donor and recipient, including restrictions on access and literary property rights. A similar conveyance should be prepared for purchases.

Unless the conveyance arrangements stipulate otherwise, the same rules of access applying to agency archives should pertain to acquired material. The identity and integrity of such collections should be preserved intact. They may be cross-referenced in agency finding aids, although they will each require their own descriptive aids and listings unless adequate inventories have already been prepared and appended to the acquisition.

5.3 ARCHIVAL INTEGRITY AND ARRANGEMENT

5.3.1 The archives of each distinct organ of the United Nations Family, as well as specialized agencies and associated agencies, have been uniformly preserved according to the principle of provenance. Within those organizations, the secretariat documentation, including minutes and proceedings, of all legislative, executive and functional bodies--General Assembly, General Conference, Board of

Governors, Executive Board, Commission, Committee and subcommittee, as well as individual Conferences, Meetings, Symposia, Working Parties and Task Forces--have been treated as discrete record groups, subgroups or record series, as the case may be.

Within some separate bodies, the correspondence and other records reflecting their operations and activities are arranged according to organizational structure by record group (sometimes the body or agency itself), subgroup, and record series and/or subseries; in others, according to a mixture of centralized subject matter registries extending over several organizational units and decentralized functional units, as deemed best suited to the reference needs of the organization. In a number of agencies, files stations or particular offices are designated to hold official files within a major sector (e.g., department or service) to reduce the scattering of archives among several organizational units.

The practice of weeding excess duplication, extraneous material and routine correspondence of transitory value at the archival stage is prevalent throughout the various agencies. Even the most traditionalist among UN archivists recognizes the realities created by modern photocopying and duplicating machines that negate the classical theory that even duplication in files illustrates the function and use of material by an organizational unit.

5.3.2 To what extent the decentralization of registry files now taking place in most UN agencies will change the pattern of archival holdings remains to be seen. Thus, a centralized subject file which previously constituted a record series may, under the new system, be dispersed by organizational unit. The pivotal point is organizational fluidity, which results in fragmentation of substantive correspondence, excessive duplication or overlapping of related data, and requires laborious reference searches. This puts an added burden on the Archivist in gaining intellectual control of the contents and making subject matter readily and fully accessible.

The quality of recordkeeping at the current stage also influences archival procedures. The validity of central registries--their reliability and completeness (in many cases, records relating to controversial matters elude the registry, not only on a current basis, but retrospectively, after the material becomes noncurrent and should be incorporated in the files) may vary among organizations. Also centralized registries are maintained in a consistent manner by trained staff, whereas files maintained on a part-time basis by secretaries and often unsupervised clerks are less satisfactory. As a result, many decentralized files, including those at senior levels of authority, are so poorly arranged--or grossly disarranged--that the Archivist is left with the prospect of thorough weeding and putting in order, for which time and staff may not be available; thus significant records may be misfiled and difficult to find for very long periods.

Archival arrangement, therefore, must proceed from (a) an understanding of the interaction of the elements of organizational structure, (b) practicalities of size and scope, and (c) purpose.[1/] Depending on the size of the organization, the feasibility of centralization of substantive records at the agency, file station or sectoral level, or decentralization by department and to subsidiary levels, is determined to a considerable extent by the volume of files that can be digested in a meaningful arrangement, the people they serve within the organization and outside, as well as the level at which a line can be drawn as to which files contain archival material (department, service or office), and which are predominantly convenience files (division/section and unit). Another determinant is the range and diversity of the agency as a whole, as reflected in compartmentalized functional units, or in a highly integrated structure. Thus, in the first type where organization follows function, conventional archival arrangement based on progressive steps in the organizational hierarchy is appropriate; in the second, where organizational structure represents different phases of a common function or common goal, a centralized or "total information approach" is

1/ For explanation of the case for flexibility, see Boles, Frank. "Disrespecting Original Order." American Archivist 45 (Winter 1982):26-32.

required to correlate the records so that they converge in portraying the end result and account for a meaningful linkage of activities. The definition of "record group" must be flexible, therefore, as applied to separate organizational sectors in the first type and to related sectors or the entire organization in the second.

5.4 FINDING AIDS

5.4.1 The main types of finding aids used in UN organizations were described in two Working Papers discussed at the Seventh Session of the ICA/SAIO (Rome, 9-11 March 1981):[1/]

(a) Published guides: (i) agency leaflets for general distribution, describing principal record groups and central registry files (some include main headings of the subject classification scheme and archival coding system) and related services; (ii) comprehensive detailed guides, such as the Guide to the Archives of International Organizations.

(b) Transfer lists prepared by the originating office at the time of transfer to the record centre/archives.

(c) Final inventory of record groups and series to be kept indefinitely, prepared by the Archives staff after weeding and, if necessary, final arrangement. In some agencies, this is known as a Descriptive Inventory, which describes each record series down to the file level with complete contents listing, as well as an introductory description of organizational structure. This finding aid is used in combination with the Record Group Statement, which contains an administrative history of the department or office concerned, its functions and structure, and its relationship to other records.

(d) Registry finding aids, established when the records were in active use in the offices that created them, including the filing plan or

1/ Working Papers on "Standardization of Archival Arrangement and Description (Finding Aids)," prepared by Markku Jarvinen (Unesco) and by S. Salvi (FAO), 4 p. and 3 p.

classification scheme, correspondence registry (if necessary), and card indexes.

(e) Catalogues, indexes and special subject lists, prepared by the Archives, covering part of a series, several series, a whole record group or many record groups. An example is the catalogue of material relating to smallpox eradication, which the WHO Archives had prepared in recognition of that landmark in human history.

(f) Indexes and bibliographies to printed archives.

(g) Auxiliary working tools also provide additional information: the shelf list of the record centre/archives, register of accessions and disposals, schedules and disposal lists.

5.4.2 The selection of types of special finding aids--subject bibliographies, subject indexes to specific documents or to file units or folders within records series having historical significance or reference value, in addition to whole series or subseries--depends on reference use, the clientele--actual and potential--for whose use the finding aids are produced, and the availability of staff to provide them.

The recommendations adopted by the Seventh Session of the ICA/SAIO as general policy asserted the principle of establishing finding aids to gain administrative, physical and intellectual control over records and archives in accordance with the structure, organization and needs of the organization; outlined the range of generally accepted types of finding aids (as named in the Working Papers) in sequence from elementary and basic ones leading to more detailed and elaborate ones, including computerization; proposed that international organizations should have a long-term programme concerning preparation and publication of finding aids with a view to promoting services and public access to their archives, and that finding aids should also be published through close collaboration between the archives units of UN and other international or regional organizations.

5.4.3 With respect to finding aids:

- Standard types of finding aids consist of the inventory of agency records (which may constitute or incorporate in whole or in part the record survey); transfer lists at the file unit level; descriptive inventories of record series; indexes to special groups of records or to subject matter extending over several record groups and/or record series; guides, both short guides and information leaflets, and comprehensive guides covering the archives of a number of organizations.
- Administrative histories, or Record Group Statements, should accompany descriptive inventories to establish the background for the archives and to place the material in its proper institutional setting.
- A comprehensive plan for the types, scope and interrelationships of finding aids required in an agency should be determined in order to coordinate sources with purpose and expected use and to avoid overgeneralization or fractionalization of the contents.
- It is likely that the possibilities afforded by automation and the competition from information retrieval systems developed in other agency sectors will give rise--especially in active agencies--to more sophisticated finding aids than those presently considered standard, in order to exploit adequately and speedily the contents and interrelationships of various types of records being produced and to keep pace with changing institutional needs and user expectations.

5.5 AUTOMATION: APPLICATION TO ARCHIVES

5.5.1 Automated techniques have been applied by many organizations to indexing and bibliographical listings of "printed archives" and internal reports, by some organizations for locator control of record centre holdings (the shelf list) as an aid to space rationalization, and by a few agencies (e.g., UNICEF) for compilation of record centre/archives holdings and their status.

5.5.2 It appears to be only a matter of time until the lessening costs of both hardware (minicomputers and microcomputers) and the availability of portable software packages will permit wider uses of this technology for preparing inventories and special bibliographies, and for the extension of computer applications to such practices as generation of labels, notices of impending disposals, and subject indexes.[1/]

A Working Paper on "Archives in the Computer Age," circulated at the Eighth Session of the ICA/SAIO (New York, 4-6 May 1982), called attention to the contribution that can be made by computer applications to subject searching in overlapping record groups and subgroups. Thus, automation can effectively reduce the considerable manpower required for achieving manual subject access to organizationally-arranged archives or to correlate separate subject files which may be individually substantially self-indexing (if accurately arranged). The need for careful evaluation by means of cost-effectiveness analysis before such technology is introduced was made clear, however. The fact that a number of software packages are presently commercially available for in-depth probing of contents reduces the need for agencies to "invent the wheel" for each application.[2/] The cost of such installations and the paucity of trained staff to operate them are the main constraints. Nevertheless, the speed with which technological advances in communications and data systems is invading most agencies makes it imperative that their impact on records management and archives be understood and used to best advantage. Otherwise, the Archives will lose out to more aggressive management and technical office information systems in efforts to secure necessary budgetary resources and management attention.

1/ Griffiths, Jose-Marie. Application of Minicomputers and Microcomputers to Information Handling. Paris, Unesco 1981, pp. 33-36. (PGI-81/WS/28) Some of the applications to libraries could be adapted to use in archives.

2/ Hickerson, H. Thomas. Archives and Manuscripts: An Introduction to Automated Access. Chicago, Society of American Archivists, 1981, pp. 24-44.

5.5.3 In applying automation to archives, agencies should seek opportunities to make use of word processors and mini-/or microcomputers to accelerate the preparation of finding aids and to facilitate administrative procedures. To that end:

- In preparation for automation, archivists should arrange for the training of staff in the necessary skills.
- Cost-effective analysis should precede plans for introduction of automated systems.
- Available software packages, such as SPINDEX, should be evaluated and the most appropriate utilized, when feasible, for in-depth subject indexing and for making inventories, to reduce "make ready" time, at least until enough experience is gained to warrant individual experimentation in special systems.

5.6 ACCESS AND RESTRICTIONS ON USE

5.6.1 Access Regulations

A recent study[1/] disclosed that of the 13 archival units in the UN System, seven have access restricted to agency officials and for official use only; one restricts public access, with notable exceptions, to records at least 40 years old; two have adopted a general 30-year rule; one has opted for 20 years; and two use a 10-year rule. All had additional restrictions on access to records containing, to quote Unesco's rules, "exceptionally sensitive information on relations with Member States or other intergovernmental or nongovernmental organizations," information which "if divulged, might injure the reputation, affect the privacy or endanger the safety of individuals," as well as personnel files of agency officials or agents and confidential files of the top agency officials. Rules applied by Unesco, the League of Nations Archives, and FAO are reproduced in Appendix E.

1/ Evans, Frank B. "Access to Archives of United Nations Organizations," paper prepared for the Second World Symposium on International Documentation (Brussels, 20-22 June 1980), 7p.

A questionnaire circulated in May 1978 by the ICA/SAIO concerning principles governing the preservation and disposal of personnel files of officials and the right of access to those files revealed that, in general, access is restricted to authorized officials, such as personnel staff and responsible division chiefs, but that ILO and (pending possible introduction of the 60-year rule) Unesco are prepared in appropriate cases to supply biographical information from such files.[1/] The SAIO Session concluded that a suitable uniform rule for access would be that applied to the League of Nations Archives, under which access to personnel files is permitted only 60 years after the date of the last relevant paper in the file.

A second questionnaire circulated at the same time concerned general access by searchers to files of inter-organizational correspondence. The objective was to define common rules of access with a view to avoiding a situation in which files containing virtually identical correspondence between organizations would be opened to research earlier or later in one organization than in another. Although nearly all replying organizations were in favor or saw no objection to common rules for access, certain agencies pointed to the difficulties of reconciling differing attitudes and practices, such as the 10-year closed period in FAO and ILO with longer closed periods elsewhere.[2/]

5.6.2 Classification, Downgrading and Declassification Procedures

The problem of classification and declassification from an archival point of view was discussed at the Seventh Session of the ICA/SAIO (Rome, 9-11 March 1981). A Working Paper pointed out that, contrary to the national government's need to protect the national security, an international organization's principal

1/ Working Paper on "Possible Adoption of Uniform Rules of Preservation, Elimination, and Access for the Personnel Files of Officials." Third Session of the ICA/SAIO (Geneva, 2-4 October 1978), p. 3; and draft conclusions of the Session.

2/ Working Paper on "Study of Proposals for Uniform Rules of Access Within the United Nations Family for Files Confined to Correspondence Between Organizations." Third Session of the ICA/SAIO (Geneva, 2-4 October 1978), 3 p.

reason for exercising secrecy over some of its records of a political nature would be to protect confidence in the "good offices" of its top executive (or his representatives). It added that it was also important that those records be opened in due time to allow objective and scholarly analysis of those activities.

The Working Paper emphasized that declassification was inextricably linked to original classification so that there should be simultaneous guidelines for both. It was suggested that a distinction be made as regards responsibility for declassification of "Top Secret" and "Secret," which appeared to be restrictively applied by the top executive, and "Confidential" and "Restricted," which tended to be overused by other offices--the declassification of the higher designation being the concern of the Archivist, whereas the lower classification, which usually was of comparatively short duration, should be treated as a records management problem. Included in that category would be administrative and financial records on which temporary restrictions are obviously necessary. Files containing sensitive information concerning individuals, not only personnel records, should remain closed to public inspection permanently or for a substantially longer period of time to protect the individual's safety, integrity and privacy.

"Downgrading," i.e., the replacement of a higher level of classification with a lower one as circumstances, events and the passage of time warrant is not practiced in most UN agencies, except in those where all documents and records are considered "for official use only," unless specifically designated for publication. In those agencies, documents may be downgraded according to established rule, on application by the Archivist to the senior officer (e.g., department head or deputy head of the agency) concerned, or when it is evident that the need for classification no longer exists. Then the downgraded material may be removed from its separate security filing place (safe file cabinets) and placed with ordinary records for reference use by staff without special restriction.

The ICA/SAIO, after concluding that there is urgent need for harmonization and standardization concerning archival rules for classification and declassification, adopted the following recommendations at its Seventh Session:

1. International organizations should have a comprehensive policy and procedure regarding the imposition and removal of restrictions upon the access and use of their archives. The main purpose of this policy should be to promote as much as possible liberal public access to their archives consistent with the protection of the rights and interests of the organization and its Member States....
2. The following types of records may need an embargo of 30 years or more:
   - records relating to national, regional and international security and defense;
   - records containing business, financial or other economic information of individual firms, institutions or Member States submitted in confidence to the organization and considered and acted upon in that context;
   - personnel records containing information concerning physical and mental health of individuals and other information the disclosure of which would constitute an unwarranted invasion of personal privacy.
3. An automatic declassification of security-classified records after the expiry of specified embargo periods should occur in most cases; only in a few exceptional cases, in principle, on the recommendation of the agency Archivist, a decision should be made by an appropriate agency senior official or, if necessary, by an ad hoc committee.
4. Security-classified records originating outside the organization should, with that originating body's or person's consent, be withheld or made accessible in accordance with the organization's own policy and procedures regarding such records.
5. Every effort should be made to discourage the unauthorized and indiscriminate use of classification designations intended to restrict

access to and use of information, such as confidential, restricted, private or personal. Whenever possible, the imposition of a security classification should be tied to a time or event after which it can be downgraded or declassified.[1/]

Additional rules that should be followed are:

6. UN agencies should agree upon uniform conditions of access or restrictions on common types of records such as personnel, and to certain types of files to avoid conflicting regulations among agencies.
7. Restrictions should be placed on identifiable types of records, including specific document series, rather than on certain "types of information," since the latter cannot be administered successfully, short of reading every document to make certain it contains no restricted types of information, before the records are made available to outside researchers.

5.6.3 Research Services and Facilities

Archives research facilities should include a reading room, access to copying machines, microfilm roll, cassette and microfiche readers and reader-printers, and typewriters. Permission may also be given, if feasible, for outside researchers to use their own tape recorders if they do not disturb others. Nearby locked storage should be available for material being continuously consulted for a temporary period. Agency staff should be required to show satisfactory identification and to state the nature and purpose of the request in order that the archives staff not waste time pursuing false leads. Each request should be recorded on a printed form in sufficient detail to be able to account for the records used, to save duplicate searching, and for statistical reporting. Loans to staff should be recorded on the same form, including reminders to check overdue loans (a renewable two-week or one-month period is usually allowed). In the case of requests involving an extensive number of

1/ ICA Bulletin No. 16, June 1981, pp. 9-10.

documents or folders, loans to staff or material furnished to outside researchers should be limited to a specific number of documents or folders at a time, with additional material provided upon return of the previous batch. Staff requests may be filled, as with current and semicurrent records, by personal consultation, loan to the person's office or copying.

Individuals from outside the organization who are engaged in scholarly research should be furnished, on application, with printed guidelines specifying the conditions of access. Such conditions vary among agencies. FAO, for example, requires a formal request to the Archivist,[1/] describing the precise scope of the search, purpose and form in which the results are intended to appear, agency publications already consulted, name of institution with which the researcher is connected, and two references who can vouch for the researcher's qualifications. ILO requires the searcher to sign an Undertaking to comply with stated conditions of access.[2/] IAEA requires approval by the Deputy Director of Administration on an ad hoc basis.[3/]

Photocopying and microreproduction should be available to outside researchers at fixed fees related to the cost of those services. Researchers are generally issued special passes for entry and exit from the premises, and they should be subject to other security measures in force in the agency. The reading room where researchers are at work should be monitored at all times; loans off the premises are not allowed. As a courtesy and for future reference, it is generally expected that a copy of a completed work will be deposited in the Archives by the author.

Special measures to ensure the security of the archives are at the discretion of the agency, but the history of thefts from national archival institutions and

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1/ FAO Archives Reference and Research Rules, June 1976.

2/ Manning, Raymond. "Access to the Archives of the International Labour Office," Sources, Organization, Utilization of International Documentation: Proceedings of the International Symposium on the Documentation of the United Nations and Other Intergovernmental Organizations, Geneva, 21-23 August 1972 (The Hague, International Federation for Documentation, 1974. FID publ. 506), pp. 491-92.

3/ "Guide to the Archives of the International Atomic Energy Agency," 1977.

other research institutions has fostered a number of protective measures, such as marking, counting of documents, inspection of briefcases, as well as use of electronic devices.[1/]

Other conditions of use include warning about the obligations regarding copyright for which the searcher is responsible. The responsibilities of the Archivist for providing service on its holdings and for protection of the records involve a wide diversity of matters of which there should be at least an awareness, regardless of whether all of them may seem pertinent at the time. In that connection the Society of American Archivists has endorsed "Standards for Access to Research Materials in Archival and Manuscripts Repositories," prepared by a committee appointed for that purpose.[2/] (See Appendix F)

With regard to research services and facilities, it may be concluded that:

- Granting access to archives of an international organization to outside researchers should be accompanied by precise regulations to ensure understanding of the conditions for use of the archives and protection of the material from harm or loss. Rules or guidelines for access should be in printed form available to all potential researchers and should contain information on the form of request, hours and place of access, reproduction facilities available and related charges, liability for copyright requirements, accountability for material consulted, and the form for crediting the agency Archives and for citing the documents used. Although the practice is deplored by most archivists, some agency rules provide for submission of notes and/or manuscript under stated circumstances.
- The Archives is responsible for seeing that the searcher has access to all records available and to all available finding aids on the subject of the

1/ Walch, Timothy. Archives and Manuscripts: Security. Chicago, Society of American Archivists, 1977, pp. 8-10.
2/ Holbert, Sue E. Archives and Manuscripts: Reference and Access. Chicago, Society of American Archivists, 1977, pp. 28-29.

research and to render any other possible assistance. Facilities normally required for research, including desk space, microform readers, reproduction facilities (at reasonable fees), and similar equipment should be made available.

- Privileged or exclusive use of materials should not be granted to any individual, other than persons assigned or commissioned by the agency to do special research for its benefit. The researcher should be informed, when possible, of parallel research by other individuals using the same records.
- Precautions should be taken to protect the physical condition and integrity of the records consulted by researchers, including professional monitoring of the search room at all times.

5.7 PUBLICATION OF ARCHIVAL MATERIAL

5.7.1 International organizations, as part of their normal functions, are publishers of record. Proceedings of meetings, conferences, and symposia are generally published as soon as possible after their conclusion. Landmark agreements and significant decisions are often published as separate pamphlets or as appendices to regular publications. Basic legal instruments—charters, by-laws and rules and regulations, procedures for borrowing, etc.—are given wide distribution. Some agencies have subsidized or supported the writing of histories or commentaries by historians or topical experts, and at least one specialized agency has a staff historian who is given complete access to the archives for the preparation of agency histories and related works.

Thus, authoritative documents of general interest that do not concern privileged relations with Member States, international organizations, or corporate bodies are made public as a matter of policy. However, the actual details of steps leading up to those decisions and agreements, the efforts of the persons involved, and the effects of the decisions on subsequent events or policy

are known to the public chiefly through newspaper and periodical articles and books, based on interviews or personal observation and viewpoints, while the facts often are buried in the archives.

5.7.2 The role of the Archivist in the agency's publications programme concerns chiefly identifying, assembling and preparing documents for that purpose. It also involves designating the authentic texts for publication, for indexing and/or annotating historical material, such as legislative histories of amendments to the agency charter, or making calendars of documents leading to an important event or recording its effect. The Archivist is also in a position to recommend records that should be published for their general interest or commemorative value, either in paper reproduction or microform.

5.7.3 With respect to the publication of archival material:

- The Archivist should work with the publications staff in ensuring that publications contain the authentic texts of documents and should prepare lists, indexes and annotations for historical publications as time and staff allow.
- Recommendations for publication of important collections of documents of general interest or of commemorative importance to the agency should be made by the Archivist in anticipation of preparing such material for publication, with the assistance of other offices concerned.

5.8 STORAGE AND SECURITY

5.8.1 Space Allocation

There are no separate record centre/archives or historical archives buildings in use by UN organizations at the present time, insofar as is known. The UN Archives in New York occupies several floors in a rental building in the city, which also has non-UN tenants. The World Bank record centre occupies leased basement space in an office building across the street from the main headquarters.

Other agency record centre/archives are generally located in a headquarters building. In most agencies, however, they are located either where space has been adapted for records purposes or in newer buildings where the records area was designated in the building plans. Since the buildings owned or leased for expansion by most agencies are modern or have been modernized, airconditioning (or temperature and sometimes humidity controls suited to the geographical location), adequate lighting, fire resistant doors and fire-break construction, freight elevators, adequate floor stress capacity, sprinklers and smoke alarm systems, and security alarm systems are—or should be--standard equipment or accessories.

Physical protection of archives was discussed at the Eighth Session of the ICA/SAIO (New York, 4-6 May 1982), and Working Papers[1/] pointed out in more or less detail technical considerations that must be taken into account in accommodating and converting buildings or space for archival use in existing buildings. These include:

(a) Site. Location where there is minimum danger from natural disasters, such as flooding, earthquakes, etc.; industrial areas, such as factories and air-polluting operations; and building hazards, such as boiler rooms and restaurants. Proximity to transportation facilities for movement of records and for staff, and to fire protective services and security stations.

(b) Structure. Reinforced concrete building construction with fire-resistant insulation, fire-doors, stairwells and elevator (lift) shafts encased with noncombustible material, and watertight ceilings. Electrical wiring should be of coated metal tubing and regularly inspected. The whole installation should conform to maximum safety regulations as regards switches, fuse boxes, etc. Roofs, stairways and

1/ Hofmann, Hans (EEC), "General Technical Problems in the Use of a Building as an Archives Repository," 8 p.; and Ulate, Bodil (UN), "Physical Protection of Archives (Converted Premises, Climate Control, etc.)," 3p.

floors should be of concrete or other fireproof materials. Large elevators, able to accommodate flat-bed trolleys (dollies) for transport of documents, should be available for the handling of records received from various offices and for movement within the repository. Floor weight-load of 200 to 220 pounds per square foot (steel shelving 7 feet 6 inches high and 30 to 36 inch wide aisles are considered adequate). Compact (mobile) shelving requires twice the load stress. Extra floor load capacity is required for concentrated storage of photographic files, motion picture film, microfilm, sound recordings, machine-readable records, and card storage cabinets.

(c) Fire and security protection. Fire hose outlets in corridors and stairwells, capable of accommodating a hose of at least 15 inches (3.8 cm.) in diameter and reaching to at least 39 feet (c. 12 m.) of all points in the area served, should be provided. Portable fire extinguishers should also be placed within 100 feet (c. 30 m.) of all points within the building, including offices. Automatic smoke detectors leading to an automatic extinction system, preferably gas rather than water (although there is a difference of opinion among experts on this matter) are considered a necessity; if possible, the smoke detector system should be keyed into the nearest fire station. The area should be inspected by the local fire authorities and made to conform with regulations. Alarms should also be wired to the security guard's office, in case of unauthorized entry from outside the building and to inside locked areas. When necessary, outside windows and outlets should be protected by grills.

(d) Environmental controls. Protection against extremes of heat and dryness, excessive humidity, and against dust and sulphur dioxide (which results from atmospheric pollution and reacts with acid present in most modern papers to produce sulphuric acid) is required to preserve archival material. Thus airconditioning, which includes filtration of

the air with an alkaline wash or similar arrangement, is required.

Desirable standards are:

Type	Temperature	Humidity
Paper	17o - 20oC, 66° - 75°F	40 - 60%
Photographs	19o - 20oC, 70o - 75oF	30%
Photo Negatives (Black & White)	18oC, 68°F	30%
Microfilm	10o - 15oC, 50o - 60oF	20 - 30%
Videotapes & Sound Recordings	10oC, 50oF	40 - 60%
EDP Tapes	20oC, 75oF	45 - 55%

Changes in temperature and relative humidity should never vary more than 10°F or 15% RH.

(e) Modern lighting is fluorescent in both new and remodeled buildings, so that less heat is generated that will dry out paper; windows in new buildings often have tinted glass to deflect the sun's rays, and nearly all window areas have plastic blinds for protection from excessive light and heat. Advances in lighting techniques permit candlepower of the same intensity with the use of less electricity, and automatic devices permit turning off the main lighting after hours, leaving safety lights at strategic intervals.

(f) Space arrangements. Space may be grouped under four headings: (i) offices or administration; (ii) public areas, including the reference or search room, and, if in a separate building, lounge and canteen, lavatories, conference or meeting room, possibly an exhibit room if feasible; (iii) work areas for processing, preservation and restoration, microfilming and reproduction, receiving area and, in a separate building--loading dock area; (iv) records storage, which may include a vault for sensitive material and generalized storage space for special types of records, such as master microfilm, photographic negatives, etc., which sometimes require exceptional maintenance facilities.

In conclusion the Eighth Session of the ICA/SAIO adopted the following points as a general policy:

1. In the use of a building as an archives repository, particular attention should be given to the location of the building, such as direct access to

all forms of public transportation, freedom from industrial pollution, and protection from natural disasters.

2. Where the archives repository is not purpose-built, adequate measures have to be taken to ensure the security and the preservation of archives, such as climate control, fire safety, and guard service.
3. Optimum conditions have to be provided for archives staff working in the archives repository.
4. Purpose-built archives buildings should be considered, particularly in the context of archives services of related organizations in field locations, e.g., regional facilities serving various UN agencies.
5. A publication giving a summary of minimum standards for the protection of archives, and including a special section for the protection of archives in tropical countries, should be compiled.

5.8.2 Furnishings and Equipment

Space-saving and labor-saving equipment are gradually coming into general use in agency file rooms and record centres/archives. Shelving joined with clips or grooves have replaced most of the nut-and-bolt shelving of earlier years; compact or mobile shelving with electric controls (although older units operate manually) is used in a number of record centres/archives to conserve aisle space. Some European models require rails imbedded in basement concrete floors or, on upper floors, grooves in the vinyl tile flooring for embedding rope-conveyors. A preferable type, which provides flexibility of installation, has the conveyor mechanism enclosed in a platform and does not require special floor construction, other than meeting weight load requirements.

Internal movement of records is facilitated by mechanical conveyors in many modern office buildings, usually leading from the mail room or messenger room to messenger stations on each floor; some buildings have conveyor belts for lateral movement of material where needed. Large record centres/archives may have small fork-lift trucks (motorized) for moving and shelving record cartons and a large volume of material; smaller agencies continue to load material on "booktrucks"

and flat-bed trolleys. Record centres/archives require tall ladders with rails (with suction cups on the legs to give stability) and "pulpit ladders," which have an attached shelf at the top of the ladder to permit removing a documents box or a record centre carton from the shelf to inspect the contents.

With regard to furnishings and equipment, principles to be considered are:

- In selecting furnishings and equipment for file rooms and record centres/archives, comparisons should be made of various types and qualities by consulting standards published by national archives institutions, particularly in Canada, the United States and the United Kingdom, and literature in professonal journals, and, especially, by visits to similar organizations which use such equipment to get the benefit of their experience.
- Filing equipment and furnishings must be heavy-duty because it is subject to hard wear, heavy loads, and often frequent movement. Although it is not necessary to purchase the most expensive or the most sophisticated units, they should be durable, e.g., a metal filing cabinet should give good service for 15 to 20 years under normal conditions, which includes a number of moves.
- Maintenance facilities, including availability of replacement parts (e.g., sometimes operational machines have to be replaced after a certain period because replacement parts are no longer available), and proximity and response time of service agencies are important, as is the availability of consumable supplies.
- The long-range effects of equipment choice must be considered. Many offices within organizations move an average of every three years, so equipment should be able to be moved and to be used for different purposes, relating to the ebb and flow of records of certain types within the organization. Cabinets can be moved intact but shelving must be at least partially disassembled and reassembled, thus requiring easily mountable/demountable types. File growth sometimes requires reassessment of the methods used: thus EDP tapes, discs and COM microforms may replace

paper files, and accelerated transfer to the record centre may reduce or change file equipment used, so that the conventional equipment saved can be reallocated to other current uses. Technical innovations may require introduction of new types of equipment to store, for example, computer printouts, microfiche, roll microfilm, discs, diskettes, and magnetic tape reels (audio tapes generally fit neatly in vertical file drawers). Therefore over-stocking of equipment that may be superseded or replaced should be avoided. Similarly, investments in motorized filing equipment, such as card conveyors (which can also be used for microfiche), should be carefully analyzed for cost effectiveness.

5.9 PRESERVATION AND RESTORATION

5.9.1 In the 13 written replies to the questionnaire circulated in connection with this study, four agencies (UN headquarters in New York, ECLA, ECWA, and UNRWA) indicated that they have fumigation and disinfection equipment in use; one (ECWA) has partial equipment used for preservation and repair workshops; and one (UN headquarters) indicated the need for revision of repair and restoration policies and techniques. The others did not report on those matters.

The repair of documents is a highly skilled occupation and requires seeking the most experienced experts. Techniques for restoration are continually changing and improving. For example, lamination, once used widely for restoring deteriorated papers, is being replaced in many cases by polyester encapsulation, which can be carried out by relatively inexperienced persons and is capable of immediate and total reversability. Most agencies need guidance in replacing the practice of patching documents with pressure sensitive tape (transparent "scotch tape"). While this is satisfactory for repairing documents of short-term value, some adhesives tend to discolor with time and become insoluble so that removal for archival repair is difficult. The Barrow methods of repair and restoration, including deacidification of paper, and the Library of Congress methods for deacidification of paper are widely used by many organizations, although to what extent by UN agencies is unknown. A number of national archives institutions,

particularly in the United Kingdom, the United States and India, are well known for their expertise in preservation and restoration techniques. Training courses have been organized by regional subgroups of ICA, with financial assistance from Unesco, e.g., the Caribbean group (CARBICA) in February 1981.[1/] The Society of American Archivists also has a U.S. Government-funded archival preservation programme and regularly publishes descriptions of new techniques.

5.9.2 In the area of preservation and restoration:

- Regional workshops for UN agencies, or in which UN agencies may participate, should be organized by the ICA Committee on Conservation and Restoration with the assistance of Unesco, beginning with tropical areas which have the greatest need, for the training of archivists in preventive preservation and restoration techniques.
- Regional laboratories should be developed or designated to service the needs of a group of agencies. These may be set up in a particular UN agency or in a national archives institution which is able to provide repair and restoration services on a reimbursable or fixed fee basis. A feasibility study should be undertaken for this purpose. Commercial firms with proven preservation and restoration capabilities should be utilized where available, if analysis confirms their cost effectiveness.
- Staff from smaller agencies, which have need for documents repair, should be assigned when feasible to work/training in institutions engaged in restoring that agency's own materials, in order to acquire skills useful to the agency.

5.10 ARCHIVAL REPROGRAPHY (see also Sec. 3.1.4)

5.10.1 Microfilming and photocopying are common methods of preserving the intellectual content of deteriorating original documents and for protecting original records from the wear and tear of repeated use. Records prepared on deteriorating materials, such as highly acidic wood pulp papers, papers that are

1/ ICA Bulletin No. 16, June 1981, p. 17.

faded or brittle, and photocopies on nonpermanent treated or slick paper that has darkened with age, can be copied with results superior to the original in many cases and at relatively low cost. Those copies can be substituted for the originals, which can be destroyed if there is no legal or historical reason for preserving them. For example, thin tissue manifold (carbon) copies can be made more readable than the original when backed on white paper before copying ("slipsheeting") with lighting adjusted to bring out faint text. Microfilm images can be enhanced by extra lighting so that they too may become more readable than the original.1/

The life of archival microfilm is not known, but it is calculated that archivally manufactured, processed and stored film will last as long as the finest rag paper, i.e., several hundred years.2/ Archival processing—the extent to which the film is washed and the theosulfate fixer removed--requires careful quality control by inspection to detect any defects and the refilming of improperly filmed images. Proper storage conditions are clean, well-ventilated areas with stable temperature and humidity as indicated in Sec. 5.8.1. The master silver (also called silver halide) camera film is the archival record; a silver copy or print film (also of archival quality) should be provided for making frequent diazo duplicates on request.

Usually, records with high reference value are candidates for microfilming to save space when the originals are destroyed. Material of intrinsic or legal value can be filmed to reduce wear and tear but the originals must be saved. When originals are to be saved, care must be exercised to protect them during filming, especially those on fragile paper.

Hard copy substitutes, such as xerographic copies on acid-free paper, can be used for preservation, but this application is usually used when only a few documents are in poor condition.

1/ Sung, Carolyn Hoover, op. cit., pp. 9, 20-21.
2/ Storage and Preservation of Microfilms. Kodak Pamphlet D-31. Rochester, N.Y., Eastman Kodak Co., 1981.

Stored microfilm reels have been subject to deterioration by aging blemishes or spotting, the cause of which is not certain. Periodic sampling of microfilm reels is recommended by the U.S. National Bureau of Standards, which has done considerable research on the subject, to detect affected reels for refilming.

Sound recordings that are to be retained for the archives should be copied on "master" preservation tape, as many commonly available tapes have a relatively short life expectancy.

At the present time, the U.S. National Archives and Records Service recommends that magnetic tapes should be re-recorded at least every ten years because, even when shielded from the effects of dust, heat, cold, humidity and magnetic fields, the chemical composition of the tape can cause it to self-destruct within a decade.

5.10.2 Rapid advances in reprographic technology require that selection of types and vendors or manufacturers of equipment and systems should wait until the final stage of the decision process. The large number of manufacturers and the wide variety of equipment and systems offered require careful evaluation and observation of working installations. Many considerations have to be taken into account in choosing systems, such as availability of service facilities, accessories and replacement parts, necessary operating skills to operate the machines, and relationship to other machines in use. Standards and guidelines on reprographic methods and equipment are available in detail (see bibliography in the Sung pamphlet cited earlier). The ICA technical Committee on Reprography has included guidelines as part of its work programme.

5.10.3 With regard to archival reprography:

- Microfilming on archival silver film according to archival standards and photocopying by xerographic or electrostatic processes are accepted methods for preserving the content of deteriorating original documents and for protecting original records from the wear and tear of repeated use.

- In addition to providing proper temperature and humidity conditions for preservation, archival care should include:

  (a) Selecting at random at least a 1% sample of microforms for inspection every two years for aging blemishes, and replacement filming when necessary.

  (b) Copying archival sound recordings on master preservation tape.

  (c) Re-recording magnetic tapes at least every 10 years (pending the outcome of studies under way by the U.S. National Bureau of Standards) or converting the tapes to COM microforms for preservation.

  (d) Photocopying copies or substitutes for random deteriorating documents on acid-free permanent/durable paper for indefinite preservation.

5.11 EXHIBITS AND OTHER EDUCATIONAL AND CULTURAL SERVICES

5.11.1 Contribution of the Archives to exhibits and other services that promote knowledge about the agency and awareness of its intellectual resources are to a large extent collaborative. The initiative frequently comes from conference services or public information offices to commemorate important anniversaries and notable events, to highlight particular themes or to provide an informative point of interest for visitors and for participants and observers at conferences and meetings. Agency design and graphics specialists, with contractual assistance as necessary, editorial staff, and subject specialists also contribute their expertise to preparing for exhibits and cultural events.

In addition to directly relevant archival holdings from which a preliminary selection of items is drawn, the Archives occasionally yield unusual photographs, artifacts and other memorabilia from random sources, such as project files and accumulations transferred by conference staff and consultants. Often such items are obscured because of lack of staff or sufficient priority to make thorough inventories, so that discovery of these items in the midst of otherwise routine files may be left to chance. However, preparations for an exhibit or special gathering may give impetus to making such discoveries.

The Archivist should also be responsible for coordinating archives material from other sources and prescribing the conditions for handling material on

exhibit or on loan for a particular purpose in order to prevent damage to the material from careless handling or inadequate atmospheric conditions. In that respect material still in the custody of functional offices (e.g., photographs, cartographic records, and sound recordings) and, occasionally, relevant material borrowed from other organizations are combined with archival holdings to complete the exhibit or expand the comprehensiveness of documentation illustrating a special event. Technical information and practical advice on all phases of exhibits, including precautions necessary for the preservation and security of the items displayed, is available from a wide variety of authoritative writings to assist the Archivist in these matters.1/

5.11.2 Examples of exhibits in which Archivists have played a predominant role include the special display of historical documents selected from the League of Nations Archives for exhibit at United Nations headquarters in New York (with added assistance from the headquarters archives staff) in connection with the twenty-fifth anniversary of the establishment of the United Nations; and standing exhibits of currency units of member countries and of selected coins and medallions of member countries and international financial organizations, for which the IMF Archivist is responsible. From time to time, originals or facsimiles of documents and photographs drawn from the archives have been exhibited by a number of agencies, and copies of unrestricted historical documents and photographs have been made available to various organizations or individuals for outside exhibits and for illustrations in publications.

Other educational and cultural services that have been or could be provided by agency archivists include guided tours for special groups of visitors, within the limits of security, topical seminars and colloquia on subjects or events within the agency's area of concern, and professional meetings for which the

1/ See especially British Standards Institution. Recommendations for the Storage and Exhibition of Archival Documents. London, BSI, 1977; Casterline, Gail Farr. Archives and Manuscripts: Exhibits. Chicago, Society of American Archivists, 1980; Evans, Frank B., comp. Modern Archives and Manuscripts: A Select Bibliography. Chicago, Society of American Archivists, 1975.

resources of the archives may be used for background information or to illustrate the discussion. Except for occasional professional and technical meetings held at Unesco and UN headquarters and the exchange of information and visits of archivists to their counterparts in other organizations, the opportunity for active cooperation in educational and cultural services has been largely confined to those agencies and the League of Nations Archives, whose holdings are open to outside researchers, but the potential exists for more active agency participation on a broader scale.

5.11.3 The Archivist should play a prominent role in advancing the interests of an agency by selecting and making available archival material for exhibit or other cultural use, by coordinating the selection of related material still in the custody of functional offices prior to transfer to the Archives, and by recommending and seeking loans of additional related material from external sources for exhibit and other educational and cultural purposes.

Specific responsibilities of the Archivist should be to:

- ensure that proper precautions are taken for protection of the material displayed from hazards resulting from careless mounting and handling, improper lighting and atmospheric conditions, and inadequate security;
- substitute duplicates of photographic prints and sound recordings and facsimiles of documents whenever possible and arrange for the encapsulation of originals in protective coverings before exhibit;
- prepare or review the preparation of labels, captions, descriptive notes and explanatory texts with regard to authenticity and to make sure citations and attributions are verified by archival sources;
- cooperate with other staff and offices and with other organizations with regard to supplying copies of unrestricted historical material for exhibit or publication and by participating in or contributing to educational and cultural programmes by research, preparing notes or papers about archival resources or their contents, speaking to selected groups, and conducting tours of the Archives.

6. GUIDELINES

These Guidelines are essentially a synthesis of the conclusions and recommendations set forth at the end of each topic discussed in the text. They are based for the most part on general records management principles and on procedures in effect in certain agencies. Since the scope of this study is comprehensive, the Guidelines focus on the dimensions of an integrated records management and archives programme instead of concentrating on definitive standards that would be selective in their applicability to various UN agencies at the present time. Further sources of information with respect to particular standards are indicated in the text and in the bibliography. The Guidelines, which are numbered consecutively within this chapter, refer to relevant numbered sections of the text.

Policy and Programme Directives (Sec. 2.1)

6.1 Each agency and separate body should issue within its formal series of executive orders and/or its Administrative Manual, a directive:

(a) establishing central responsibility for communications and for records management and archives, designating the officers charged with those responsibilities, including the authority of the Records Manager/Archivist to inspect records and other informational material in offices and to institute systems for their maintenance and disposal;

(b) specifying the inviolability of agency records and their mandatory transfer to the record centre/archives when no longer current;

(c) defining the responsibility of staff for the safekeeping of records and information;

(d) specifying procedures for security classification and declassification. (2.1.1)

6.2 Supplementary procedures and instructions should be incorporated in pertinent manuals, including all or some of the following: Correspondence Manual, Secretaries' Handbook, Records Manual, and Field Office Manual. (2.1.2 to 4)

Organizational Relationships (Sec. 2.2)

6.3 Location of Communications, Records Management and Archives Functions. The registry/records management and archives function should be under a single authority and assigned at least comparable status in the organizational hierarchy (equivalent to Service or Division) to other major information management services and separate from routine administrative services, in order to invoke the authority necessary to carry out its purposes. When the Records Management and Archives unit, which is an information function, is separated organizationally from the Communications unit, which is an administrative function, both should be under the same department or sector to ensure smooth and effective collaboration. If the two functions are joined to reflect communications continuity in smaller agencies, unrelated administrative responsibilities for telephone, copying and messenger services should not be included. (2.2.1)

6.4 Registry and Archives. The organization of the records function according to the Registry--traditionally associated with agencies using the European registry system--as the unit that handles current records (sometimes including mail and cable and telex services), and the Archives, as the unit which handles semicurrent and noncurrent records, is gradually becoming more integrated as records management principles based on the life cycle concept and on a comprehensive records and archives programme are adopted. (2.2.2)

6.5 Archives and Libraries. The distinctive differences between archives and records management, on the one hand, and libraries, on the other, as to the information resources for which each is responsible and the specialized training and techniques required to deal with each, require that the two services should not be merged or integrated but that they should be complementary. (2.2.3)

6.6 Secretariat Documentation. The official or archival sets of documents and publications of the organization, in whatever form and including both publicly available and restricted and internal material, should be in the custody of the

Archives as evidence of the organization's existence and activities. In practice, the Library should retain reference copies of agency documentation and publications which are accorded public access on the same basis as other library material. Finding aids should be prepared, as necessary, by the Archives and by the Library according to their respective standards and needs. Library-produced bibliographical tools should contain references only to documents and publications that are publicly available. The Conference Secretariat or Documentation Service should initially hold the official copies of current secretariat documentation until the agreed time for regular transfer to the Archives, and should prepare lists and indexes as necessary, except in those organizations where responsibility for documents distribution, custody of archives copies from time of creation, and indexing are centrally lodged with the Records Management and Archives unit. (2.2.4)

6.7 Offices Generating Machine-Readable Records. The Archivist should cooperate closely with computer systems managers from the choice of systems onwards to ensure the preservation of machine-readable records having potential archival value. Basic information inputted to the computer should be appraised carefully to ensure the preservation of information sources from which data aggregations and extrapolations have been made in order to avoid the inadvertent destruction of comparable data. Thus, there is an urgent need for recruitment in the Archives of technically trained staff to apply archival procedures to computer-generated records. (2.2.5)

6.8 Liaison with Services Having Related Functions. The Records Management and Archives unit has a vital stake in matters affecting records creation and maintenance, including filing equipment and supplies; the control of forms and establishment of schedules for copies retained for information or record by various offices; the control of directives as regards their identification, source and purpose, their currentness and distribution, and the preservation of record copies with essential background information; the control of reports for similar reasons; environmental factors necessary for physical preservation of

records of all types; and security measures for the protection of records and their contents. These interests can be fostered through active collaboration with the services directly charged with those functions. When it appears that there is a lacuna in management that adversely affects records and recordkeeping, it is incumbent upon the Records Management and Archives unit to initiate cooperative action, or to intercede, when necessary, to promote and protect its inherent interests in those functions. (2.2.6)

Information Infrastructure: Functional Relationships (Sec. 2.3)

6.9 Organizations which have diverse collections of data separated administratively by type or physical characteristics and by location and technical requirements--photographs, sound recordings, data banks, libraries (general and specialized collections), maps and charts, etc.--should prepare and disseminate widely within the organization and, as appropriate, outside, a "Guide to Information Sources." The Records Management and Archives unit should act as catalyst and, if feasible, compiler of the Guide, from its vantage point of awareness of the broad spectrum of conventional and nonconventional documentary sources within the agency.

Field Offices (Sec. 2.4)

6.10 Procedures for maintaining current records, including the central classification plan (if appropriate) and illustrations of pertinent forms and of records equipment and supplies, should be described in detail in the Field Office Manual (see Guideline 6.2). The Manual should also contain schedules for recurrent records; instructions for their transfer on becoming semicurrent to storage areas as required for continuing reference for stated periods, and for their destruction as authorized when those periods have expired; as well as the transfer to headquarters after a specified time of records deemed to have permanent value for final appraisal and disposal.

6.11 Headquarters and field office files should follow a common agency classification plan, whenever feasible, to facilitate reference. Alternatively,

a common classification plan applying to Regional Offices which have similar functions should be established when that would be more relevant to file content and thus facilitate arrangement and reference. Filing procedures should include initial separation of material of continuing reference value from material of transitory interest. (2.4.2)

6.12 Regular field inspections to audit procedures and accounts should include records procedures, and the head of the Records Management and Archives unit should receive relevant extracts of the Inspector's report. At the request of a field office or the Inspection Unit, an archivist or records manager from headquarters should be authorized, in conformity with agency policy, to make site surveys and recommendations for improvement of current records practices and for disposal of semicurrent and noncurrent records. (2.4.3)

6.13 Appraisal of field office records should take into account those which are duplicated at headquarters and those which are unique. A reporting form should be circulated annually to field offices by the headquarters Records Manager/Archivist requesting a list of record series destroyed under authorizations specified in the Field Office Manual, and a list of other holdings of semicurrent and noncurrent material that are awaiting appraisal by the Archivist. (2.4.3)

Archival Repositories for Abolished and Suppressed Organizations and Corporate Bodies (Sec. 2.5)

6.14 UN agencies having well-established archival facilities are proper repositories for archives of abolished or suppressed organizations within their historical or institutional area of interest, in preference to acquisition by libraries, national archival institutions, or private organizations.

6.15 When UN bodies or specialized agencies, which are recipients of or which have been offered such collections, do not have facilities for their proper care, the Chief of the UN Archives in New York should be called upon for advice and assistance. The UN Archives should, in turn, make arrangements for preliminary

review and appraisal of the material in order to make recommendations for custody by headquarters Archives or by another UN agency having suitable facilities and which has similar functional interests or is located in an area convenient to potential users. Necessary funding may be requested from appropriate UN authorities or, if feasible, from foundations and other organizations which may be interested in making the records accessible for historical research.

6.16 The agency assuming custody should make sure that the legal and administrative integrity of the archives is preserved and that existing finding aids and documentation of the administrative history are attached.

6.17 In the event of a disagreement among agencies, the Chief of the UN Archives (or the Chairman of ICA/SAIO if affiliated with a UN agency) should appoint an inter-agency committee of archivists to review the case and recommend a solution.

Staffing, Training and Orientation (Sec. 2.6)

(a) Recruitment (2.6.1)

6.18 In order to attract staff with the necessary technical skills, broad-based education, and relevant experience, staffing patterns should be graded according to intellectual and technical responsibilities, range of duties, volume and character of the records, and special qualifications required, with allowance for capacity to meet new challenges.

6.19 A professional records manager/archivist should be appointed in each specialized and similar agency and each separate organ having a staff of at least 100 to 200; in larger agencies additional professionals should be appointed as necessary to direct the range of responsibilities, volume of substantive records, and specific technical activities for which professional planning and supervision are required.

6.20 Standard job descriptions for various positions should be made available among agencies and adjusted to meet their specific needs for use as guidelines. When feasible, tests should be developed to assess clerical applicants as to

aptitude, analytical ability, judgment, cognative ability, assessment of records problems and their solution, and, if appropriate, manual dexterity. More complex tests should be prepared for paraprofessionals, and, in some cases, professionals might also be tested as to aptitude, judgment, reference acuity, written and oral expression and negotiating skills, as well as technical proficiency relating to their specific responsibilities.

6.21 In order to develop staff capabilities, to form a career path, and to integrate more effectively functions relating to various stages of the life cycle of records, staff should be rotated between registry and records management and archival duties whenever feasible in order to broaden their insights and experience.

(b) Training (2.6.2)

6.22 Regional or cluster workshops and seminars, held under the auspices of Unesco and ICA/SAIO, should be held for staff at various levels--senior administrative and information services officers, together with the heads of Records Managment and Archives units, in an awareness and mutual dependency discussion; paraprofessionals, on technical or functional skills--automation, microfilming, preservation and restoration, reprography, accessioning and disposal; clerical, as to filing procedures, subject classification and reference techniques. Courses should be conducted by selected staff from various agencies (not necessarily United Nations) according to expertise in the topics to be discussed. Unesco should be asked to assist in financing the training.

6.23 Inter-agency internships of two weeks to three months, covering single or rotating functions, should be organized for paraprofessionals and subunit heads. An inter-agency committee, chaired by the Chairman of ICA/SAIO (or head of the UN Archives if the chairman is not affiliated with a UN agency) and with a rotating membership of no more than four other members, should be established to select applicants. Host organizations should be chosen, with their consent, by the Chairman. Agencies would be expected to bear the expenses of their staff attending; the host agency would not charge for its regular facilities.

6.24 Staff should be trained in needed specialties arising from new technology and also should be encouraged to take advantage of local university or professional training courses, making use of agency incentives of partial reimbursement of costs, if available.

(c) Orientation of Staff (2.6.3)

6.25 All new agency staff should receive regular indoctrination regarding records and archives functions and services as part of the general orientation programme. The head (or a representative) of the Records Management and Archives unit, should give at least one hour's oral presentation to secretarial and clerical staff, using slides and other visual aids if available, followed by a half-hour's tour of the record centre/archives and central registry. A briefer orientation should be addressed to professionals, preferably by the head of the unit, with a suggested tour of central facilities to those interested. When orientation of professionals is given by a senior official, the Records Management and Archives unit should provide a script or background notes. Agency training personnel should be encouraged to schedule courses on a frequent and regular basis in view of their importance to the agency as well as to the individual.

6.26 In offices serviced by a centrally controlled or administered decentralized file station, both professional and secretarial or clerical staff should receive indoctrination in the file's resources, procedures, and services. Emphasis should be on creating a partnership of files staff and clients for their mutual benefit.

6.27 Audiovisual aids should be employed whenever available for orientation purposes. Exchanges between agencies of relevant slides and drawings, or preparation of a motion picture documentary, by the UN or by ICA/SAIO with Unesco support, on the nature and importance of records should be explored as a means to enliven and popularize orientation sessions.

Reporting and Statistics (Sec. 2.7)

6.28 The basic principles to be followed in collecting statistics are: consistency, clear definitions of terms, regularity, and standard measurements.

6.29 A revised statistical model for measuring records holdings, activities and services of active UN agencies and other international governmental organizations is proposed for development by Unesco, in collaboration with ICA, to collect data on records creation, maintenance of current records, management of semicurrent and noncurrent records, and archives resources and services. The model should also provide data on auxiliary services, such as microfilming, forms control, and automated finding aids. The questionnaire for the proposed model should be initiated as a pilot project and, after revisions based on experience, should be circulated to UN agencies at intervals of two to five years, as agreed, in order to provide comparable data and analyze trends. (2.7.2)

6.30 Printed or mimeographed forms should be used whenever possible to expedite routine compilation of recurrent data on a daily and cumulative basis, such as mailings, postage, correspondence processed, items filed, index entries, etc.

6.31 Workload statistics should place greater emphasis on gathering qualitative data on information services furnished as a means of revealing a more positive image of the Records Management and Archives unit's activities than is shown in exclusively quantitative data. (2.7.3)

Records Creation (Sec. 3.1)

(a) Specifications for Record Materials (3.1.1)

6.32 The Records Management and Archives unit should promote preventive preservation by close collaboration with the Procurement service on purchases of supplies for archival-type records. Technical advice on specific requirements for materials may be secured from relevant ICA committees and from professional literature.

6.33 Approved standards include the use of permanent (100% cotton fibre) grade paper for formal legal instruments and ceremonial documents; encasing unbound ceremonial documents in acid-free polyester sheets or sleeves to eliminate physical contact; encasing photographic negatives and prints individually in similar polyester sleeves or acid-free envelopes; use of silver (halide) microfilm for all archival microforms, with diazo copies for security and reference copies; placement of historical documents and records, if possible, in acid-free file folders or in acid-free documents boxes with metal corners and hinges; selection of appropriate file folders by weight according to function and purpose; use of manifold paper of permanent/durable quality to produce record carbons of potentially archival records.

6.34 The lack of control of paper quality emanating from copiers, word processors and printers, which are usually 100% bleached sulphite, as well as the diminishing quality of ordinary paper, indicates the need to observe closely signs of deterioration so that remedial action, such as microfilming or other types of reprography, can be undertaken before valuable records become brittle or the writing fades.

(b) Procedures for Specific Categories of Paperwork (3.1.2)

6.35 The role of Records Manager/Archivist should be conceived as that of a member of the agency management team committed to facilitating the accumulation and accessing of essential information currently and retrospectively. Thus, the Records Management and Archives unit from its vantage point as the agency's principal information centre should make a conscious effort to contribute its knowledge and services in matters that reflect the many-faceted aspects of paperwork management--mail management, correspondence management, files management, forms management, reports management, and directives management. In addition to those areas where its primary interests are indisputable, the unit can also assist in providing and managing systems for the control of forms and of certain

aspects of reports and directives that would otherwise be neglected. (See also Guideline 6.8)

(c) Automation (3.1.3)

Automated Registry and Indexing Systems (3.1.3.1)

6.36 The automation of financial, housekeeping, statistical, personnel and similar data in decentralized files has been in effect for some years, and automation is progressively being applied to records of other functions. In the past archival-type data have been preserved in printed reports of cumulated data produced by the computer, but new technology and the extension of computerization to substantive material and nonroutine activities require that the Records Management and Archives unit be involved at the design stage (see also Guideline 6.7).

6.37 Cumulative reports of automated data should be retained only at the longest period at which full information is recorded (such as annual reports), in order to eliminate unnecessary retention of superseded reports.

6.38 Automated indexing of registry correspondence should be made more selective and perceptive to reduce the expense and frustration resulting from unnecessary and irrelevant entries. Registry indexing should be extended wherever feasible to provide cumulative information on matters of frequent reference, such as missions and conferences.

Source Data Automation (3.1.3.2)

6.39 Accessions of records produced by means of source data automation should be identified, so that the Records Manager/Archivist will be aware that recorded data for verification exists solely on input media, such as punched cards, punched tape, and mark-sensitive forms. Assurances that those media have been fully exploited should be obtained before their destruction is approved.

6.40 Source data automation offers possible applications for records management use in the conduct of record surveys, particularly in field offices, and in compiling data related to holdings, transfer and disposal.

(d) Reprography: Convenience Copying (3.1.4)

6.41 Separation of information copies into temporary files should be encouraged as a deterrent to unnecessary filing (and ultimate weeding) in official files. This should be emphasized in staff manuals and orientation lectures.

6.42 As a means of producing clear copies and discouraging unnecessary use of copying machines, responsibility for the control and monitoring of each copier should be specifically delegated to an individual so that machines will be properly maintained, paper jams reduced and quickly corrected, toner input kept at proper levels, and copyright restrictions observed.

(e) Micrographics (3.1.5)

6.43 The central point for control and coordination of microfilming policy and practice throughout an agency should be the Records Management and Archives unit. This will enable it to exercise its responsibility for current, semi-current and noncurrent records and for making determinations regarding appropriate preservation and accessibility. Arrangements for preparation of COM microforms may be delegated to the offices responsible for computer services, and arrangements for microfilming of printed archives, if appropriate, to the Library or Documents Service responsible. All other direct microfilming should be centralized within the Records Management and Archives unit. If feasible, an inter-office committee composed of the services concerned would be a useful means for collaboration.

6.44 Careful cost/benefit analyses should precede any decision to microfilm for the purpose of saving space, as previous studies have clearly demonstrated that space saving itself is not a valid reason unless supported by other, more pressing circumstances. Similar analysis should be applied to decisions on whether to set up full or partial microfilming facilities within the organization or to use contractual services.

6.45 Legal Admissibility of Microforms as Evidence. The legal status of microfilm records should be carefully considered before destruction of the originals they are designed to replace, according to studies made of national legislation in force in many countries. Such decisions should be made with the advice of the organization's legal counsel, as well as subject and technical specialists. (3.1.5.3)

COM Microforms (3.1.5.4)

6.46 The increasing use of COM microforms in lieu of paper printouts requires that the Records Manager/Archivist be able to make a preliminary evaluation of potential archival value of the end product of such systems at the design stage.

6.47 COM microforms of automated financial and administrative records should be utilized for vital records programmes and security copies wherever relevant.

6.48 Retention of COM microforms as a substitute for historical magnetic tapes for archival purposes should be considered because of the ease of handling and superior reference accessibility of the microforms.

Microfilming of Documents and Publications (3.1.5.5)

6.49 Microform sets of secretariat printed documentation--preferably microfiche because of its easy accessibility and superior reprographic quality--should be retained in the agency archives and also in the Library's printed archives collection, where applicable. Duplicate items should be produced on diazo film, except for COM microforms, which should be on vesicular film.

6.50 Filming of printed documentation should be performed in-house if possible to promote quality control. Developing of film and copying of roll film is often performed more expeditiously and less expensively by contract services, but archival standards must be met in all details.

6.51 Micropublishing. Publications of small organizations, including publicly available documentation of general interest, is generally reproduced more

expeditiously for external distribution in microform (with extracts reconstituted on paper or microform) by a commercial firm with worldwide distribution facilities, rather than by the agency itself. This relieves the agency of the expense and responsibility of producing, stocking, and distributing microform copies for public use, and for having to maintain large quantities of paper stocks to fill retrospective orders. A by-product is that the agency itself receives a complimentary copy of the microfilmed works and can order extras relatively inexpensively. (3.1.5.6)

Current Records Maintenance (Sec. 3.2)

(a) Filing Systems (3.2.1)

6.52 Current files should be maintained under central control in designated file stations which relate to major functions or major organizational units (departments or offices) in order to:

(i) prevent fragmenting relevant material;

(ii) eliminate unnecessary duplication;

(iii) specify the preferred location of certain types of information to avoid confusion as to its whereabouts;

(iv) prevent mushrooming of files in subordinate units;

(v) facilitate the disposal of semicurrent and noncurrent records.

Files of subordinate units should be considered working or convenience files, except when they represent specific functions not substantially duplicated elsewhere. Small organizations are generally well served by a central registry to take advantage of trained staff and consistent procedures.

6.53 Classification schemes should have a simple coding scheme and the subject arrangement should be logical and hierarchical to provide room for expansion and for particularization of subject matter when necessary. The use of an agency-wide classification system for substantive files depends on the character of the agency. Although a uniform classification plan has a theoretical advantage of bringing similar material under the same symbol, regardless of the

office of origin, the system usually works best when the classification is consistently applied by a central staff, although even when the files are decentralized the rigidity of the classification and accompanying procedures often fails to accommodate changing patterns of subject matter, variations in amount and type of material, and user preferences. Thus, large organizations which have a broad range of responsibilities and interests (and where a single department is often much larger than a small agency) are generally best served by filing systems specially prepared for each major functional or organizational department or division, as the case may be. Many functions or offices do not need a coded classification, but are adequately served by an alphabetical or a broad category/alphabetical subject system for current reference needs. This puts the burden on the Archivist to draw together subject and other related material from among separate organizational units for future reference.

6.54 Initial separation of correspondence into files of continuing and temporary value reduces the build-up of unnecessary duplication that requires weeding when it becomes semicurrent or noncurrent, and improves the quality of the file by reducing the time spent in searching for essential information.

(b) Filing Equipment and Supplies (3.2.2)

6.55 General criteria in the selection of equipment and supplies are:

(i) use conventional items when practical;

(ii) use nonconventional items only with valid justification;

(iii) compare various types before deciding;

(iv) determine suitability to withstand anticipated volume and weightload;

(v) distinguish between retrieval needs estimated as "urgent and immediate" and "in reasonable time";

(vi) consider availability of rapid delivery facilities, such as conveyors, elevators, or special messenger service;

(vii) ensure security when limited access or physical protection are of prime importance.

6.56 At present, standards for registries and file rooms are based on 4 or 5-drawer metal vertical file cabinets; shelf files of standard 5 to 7 shelves, either open or closed; storage cabinets for a single format or mix of suspended files, documents boxes and ring binders; and bookshelves, which are often used for record material as well as books and periodicals. File folders are classified by weight and are chosen according to filing requirements. For registry and other archival material, heavy kraft (18-point) folders with single position tab, centre or off-centre cut, with pre-inserted metal or plastic prongs in the center fold, and pressure-sensitive labels are generally standard. Pressboard folders are used for certain heavy-duty files such as personnel folders, payroll folders, and certain case files.

6.57 Basic types of filing equipment and supplies should be standardized and from the same or compatible manufacturers so that the files will present a uniform appearance, have the same dimensions, and have flexibility for use in other offices and other locations. The choice is governed to a large extent by availability in the locality or area in which the organization is situated.

Control of Assignment of Filing Equipment and Supplies (3.2.2.3)

6.58 Standard types of filing equipment and supplies should be chosen as a result of consultation between the Procurement office and Records Management and Archives unit. Basic equipment assigned according to rank and purpose should be determined, and requests for additional equipment and for special supplies (not in stockroom) should be forwarded immediately by the Procurement office to the Records Management and Archives unit for approval.

6.59 A personal investigation by the records management officer should follow to see if space for current material can be made by transferring semicurrent or noncurrent files, reorganizing files, or eliminating excess nonrecord material. As a result, the request is often cancelled or alternatives provided.

6.60 Special filing equipment requested should be assessed in relation to its functional effectiveness and in comparison with similar types or brands to assure suitability. Requests for new types of units for housing nonconventional records should be considered as the basis for selecting potentially standard units for such material.

6.61 On the basis of experience in assigning equipment and of data acquired from record surveys, the Records Management and Archives unit should make annual recommendations for anticipated equipment requirements for the following year to aid the Procurement office in making budget projections.

(c) Vital Records Programmes and Security Copies (3.2.3)

6.62 Vital records programmes are designed to deposit at an off-site location copies of records (chiefly in microform, supplemented by selected historical magnetic tapes and quick reference aids in paper form), which have been designated essential to reconstruct and continue the operations of the agency, and to protect its organizational interests, in the event of a disaster or an emergency affecting the conduct of business at the headquarters site. The Records Management and Archives units of agencies having such programmes have responsibility for their management, including assembling data from offices of origin, preparing microforms as necessary, organizing the material according to a microform code arranged by type and record series, keeping account of material on deposit to facilitate reference, and carrying out procedures for keeping the information current on at least a monthly basis, including eliminating superseded data.

6.63 Security copies are generally by-product microforms of records and documentation prepared for other purposes, which are deposited in an outside location as a safeguard in case of damage to the originals or to the microform master. Historical documents are also microfilmed for this purpose. Although

security microfilm normally contains documentation of cultural, scientific and research value, rather than data specifically related to institutional obligations and continuity, pertinent record series could be incorporated into a vital records programme or vice versa, if desired.

6.64 The Records Management and Archives unit is the natural agent for managing either or both a vital records programme and a security collection as part of its normal functions.

Record Surveys (Sec. 4.1)

6.65 General agency-wide surveys of record holdings in offices should be made at approximately five-year intervals to provide a profile of existing resources; to identify semicurrent and noncurrent records that should be transferred to the record centre/archives; to select records series for which schedules should be established; to discover needs for files improvement; to pinpoint cases of inappropriate use of equipment; and to establish closer working relationships between the Records Management and Archives unit and decentralized offices. Information should be solicited by means of printed forms circulated to each office; the departmental administrative assistant (if appropriate) should act as liaison for collecting data, although individual offices should also be encouraged to seek assistance direct from the records management staff. The survey report is the primary source checked in investigating requests for additional equipment, in order to spur transfers and disposals. General surveys should be preceded by a circular from the head or deputy head of the agency announcing the purpose, procedure, time period for response, and dates for progress and final reports to management on the results.

6.66 Ad hoc surveys made in response to requests for files assistance, negotiations for disposal and for scheduling of recurrent records, and in connection with staff reorganizations and transfers are means of updating basic

information in the general survey. Prompt response to requests for files assistance is imperative for establishing effective relationships between the Records Management and Archives unit and agency offices.

Retention and Disposal (Sec. 4.2)

6.67 All housekeeping and similar routine administrative, financial and other facilitative records should be scheduled for recurrent transfer and disposal in agreement with the originating office. Schedules in force at UN headquarters should be circulated, when relevant, to various organs for use as authority for disposal or as guides, as well as means of convincing doubting officials as to the normalcy of such procedures. Specialized and associated agencies and, when appropriate, separate bodies should prepare their own schedules and disposal lists that relate to their particular records and to their own reference use, but the UN schedules may be referred to as guides. It is understood, however, that retention periods required in one agency do not necessarily fit the needs of another agency.

6.68 Disposal authorizations for both recurrent records (schedules) and single accumulations (disposal lists) should be signed by the Archivist and the head of the responsible programme or functional unit, no lower than a division or service or the equivalent. Informal negotiations and preliminary agreement should precede preparation and signature of the formal authorization form. Disposal authorizations for financial records subject to audit should be cleared and countersigned by the Internal Auditor and, if appropriate, the Controller. In cases of doubt about relevant national statutes of limitations regarding liability for legal action, the Legal Department should be consulted.

6.69 Duplicate copies of facilitative forms used for information by more than one office may be authorized for destruction after immediate need has passed on the basis of the existence of the record copy, which has the longest retention life.

6.70 Working files of organizational subunits (i.e., in addition to the designated departmental file station, such as divisions, sections and below) and of professional staff, which contain only occasional unique material of lasting value, may be transferred to the record centre/archives for two or three years before destruction in order to assuage any personal apprehension about future reference needs. The records should be weeded before destruction and archival material integrated in the central registry files or official file station as the case may be. Disposal authorization for this class of material is included in the authorized schedule by some agencies; in others, a special form may be used to record approval by the staff member or office concerned to the Archivist's recommendation that the files be destroyed as containing no archival material and having no further reference value.

6.71 Guidelines for retention of decentralized office administrative and informational files (generally nonrecord and nonarchival) should be issued for the information of secretaries and administrative assistants who are responsible for those files. The guidelines should include instructions concerning retention standards for printed reports, agency periodicals and publications, and secretariat documents in order to limit their accumulation.

Destruction Methods (4.2.1)

6.72 Destruction of sensitive material should be performed at a central designated point, bagged, and destroyed according to methods agreed by the Archivist with Building Services and Security officers. Institutional-size shredders, set at the narrowest width, and with cross-cutting to prevent reconstruction, or disintegrators should be used in preference to small machines that require tearing documents apart and removing metal fasteners. When, in exceptional cases, a satellite building is allowed to have a shredder, usage should be under control of the Building Services unit in cooperation with the Archivist.

6.73 For the highest security, senior officials should be instructed to send very sensitive material in double envelopes or sealed cartons by courier or

special messenger to the Records Management and Archives unit, which will monitor destruction. Offices having a high volume of confidential waste, such as computer printouts containing preliminary economic or financial data, should make special arrangements with the messenger service for direct pick-ups and delivery to the destroying machines.

6.74 Sales of waste paper for recycling should be arranged as a conservation measure when feasible. Special canisters should be placed in offices to separate recycleable paper from ordinary waste. Material should be moved directly by dumpster from the compactor to the recycling firm under controlled arrangements to prevent inadvertent scattering.

6.75 Destruction of microfilm, photographic negatives, metal printing plates, etc., should be subject to recovery of reusable metals, when feasible.

Appraisal Criteria (Sec. 4.3)

6.76 Appraisal criteria is applied primarily in accordance with the characteristics of the material:

(a) by type--administrative and other housekeeping records which are evaluated by function;

(b) by content--programme and project records, for their evidential and informational values;

(c) by historical and legal importance--charter, by-laws, agreements with Member States, other organizations and corporate bodies, budgets and organizational documents, ruling decisions and directives, documentation of governing and subordinate bodies and complementary groups;

(d) by physical properties--audiovisual, cartographic, architectural and engineering drawings, machine-readable records, printed records, in terms of functional, evidential and informational value, as appropriate to their format.

6.77 Records should be appraised at two stages:

(a) preliminary evaluation of their functional value as semicurrent or noncurrent records with respect to periods recommended for their continuing administrative, fiscal, legal and reference use, which is made at the time retention schedules are established with the originating office or when records are transferred to the record center/archives;

(b) archival evaluation of their evidential and informational value for long-term or permanent retention at the time of final disposal and designation as archives, with further consideration as to retention in the original form or in microform, and whether sampling of typical record series will be sufficient evidence for archival purposes of certain voluminous types of records.

6.78 Archives are generally found at the upper levels of the organizational hierarchy, where policies and decisions are formulated, and with expert advisors and consultants.

6.79 Since appraisal criteria cannot be applied to exact standards and their relative values differ from organization to organization, determinations of archival value are also subject to change in the light of changing conditions and changing values over time. Consequently, a careful and consistently applied reappraisal of certain archival holdings should be held at approximately 10 to 20 year intervals to review the validity of the original designation in the light of present-day concepts and experience, or to decide whether microfilm reproductions would be adequate replacements.

6.80 Sampling. This method is used to preserve selected segments of certain record series, usually bulky and extensive in volume, which have archival interest, not for content, but because they illustrate procedures for dealing with certain routine activities or complement the internal structure of a function which has been summarized in reports and statistics. (4.3.2)

Record Centre/Archives (Sec. 4.4)

6.81 The purpose of a record centre is to provide in less expensive space and equipment a central repository for the intermediate maintenance of semicurrent records no longer required for active use in offices but which have continuing institutional value for varying periods. In UN agencies the record centre function is combined with the archives.

6.82 The duties of the record centre/archives comprise arranging for transfer of semicurrent and noncurrent records from offices, either scheduled or special accumulations; preparation of accession reports, attaching lists of material transferred and finding aids, if any, supplied by the originating office; preliminary appraisal of retention value, in consultation with the office of origin; boxing, labeling, shelving, and servicing of holdings in accordance with restrictions on access placed by the office of origin; preparation of shelf list and other locator information, and a "tickler" or reminder card file on dates for action on each record series, including notification to offices of impending scheduled transfers and destruction; and carrying out authorized disposal.

6.83 Automation afforded by data processing or computer services available should be utilized whenever possible in the preparation of shelf lists and space rationalization, notification of impending transfers and disposals, data on holdings, and preparation of finding aids, in order to facilitate and expedite service.

6.84 Record centre/archives staff should maintain active cooperation with Building Services staff, as well as offices where records originate and are maintained, in order to be alerted to lapses in normal procedures for transferring noncurrent records, to unauthorized destruction of records, or careless handling of security classified material.

Transfer and Accessioning of Archives (Sec. 5.1)

6.85 The principle of inviolability and inalienability of an agency's records should be firmly implanted in agency practice. Every means should be taken to

create staff awareness of the relevant executive and administrative directives and to exercise vigilance in seeing that they are carried out.

6.86 The Records Manager/Archivist should be given advance notification by the Personnel office of impending staff separations by means of a routine check-off form prepared in connection with close of service. Thus, personal contact can be made with the departing staff member with regard to regulations against removal of records and documents, including copies of a person's own writings and related material. In exceptional cases, permission to remove any copies of record material should be authorized in each case by the Archivist and, when necessary, by the the agency executive or the department head concerned, in accordance with stated policy.

6.87 A clear distinction should be made between record centre and archives holdings, even though they may be held in the same location and serviced by the same staff. Separate identification and reporting of accessions may not be practical for the archives of small agencies, particularly when the material is not open to public access and the extent of archival holdings is limited. For records that are or expected to be open to outside researchers, the archives holdings are identified by symbols denoting record (archive) group and record series, corresponding to their arrangement. When necessary, the material is finally arranged in archives containers, relabeled, and reshelved. Those processing activities, as well as reference and research services, are reported separately. Frequently there are time lags in the transfer of repository holdings to archival status, however, because of the necessity for weeding, organization of material, and preparation of finding aids.

Recovery of Alienated Official Records and Acquisition of "Private" Papers and Related Non-Institutional Archives (Sec. 5.2)

6.88 When alienated papers are restored to the originating organization after a hiatus in custody, their former status and filing place are not restored. Such records should be placed separately, but next to, if possible, the related

records series and cross references should be inserted, with explanation, in all relevant finding aids and in the original filing place.

6.89 The acquisition by the agency's Archives of "private papers" of former heads and senior officials of organizations or persons who played a prominent role in their history is useful for institutional research because of the description of factors surrounding decisions and events in agency history and because official papers are often discovered in the collection. When those collections have been deposited irrevocably in other organizations, microfilm copies should be obtained by the Archives if desirable for reference, preferably as a courtesy or with official or private funding.

6.90 Gifts and loans (preferably with the right of the organization to make microfilm copies) should be accompanied by legal documents clearly stating the relationship between donor and recipient, restrictions on access, and literary property rights.

6.91 The same rules of access applying to agency Archives should apply to acquired collections unless the conveyance arrangements stipulate otherwise. The identity of acquired collections should be preserved intact, with their own finding aids, although they should be cross-referenced in the agency's finding aids and included in its archival bibliographies.

Archival Integrity and Arrangement (Sec. 5.3)

6.92 The archival integrity of separate agencies and separate bodies, including boards, committees, and working groups or task forces, and of discrete conferences, assemblies, meetings, and symposia, should be preserved according to provenance.

6.93 The weeding and elimination of duplication, extraneous material, and routine material of transitory informational value is necessary prior to archival arrangement.

6.94 Archival arrangement may be by the traditional system of record groups, subgroups and records series according to the agency hierarchical organizational pattern, which is accessed by subject indexes, descriptive inventories and special finding aids. An alternative method is the "total information" subject arrangement of intraorganizational substantive records by an integrated classification plan (which is to a large extent self-indexing), with collateral selective indexing. The method depends on the characteristics of the organization--its size and range of interests; the volume and preponderant type of records (operational, case and project file, or policy and research); and user requirements--urgent institutional access or general research. Thus, a uniform system of arrangement would not be feasible for all UN organizations.

6.95 A record group (also known as archive group) generally corresponds to a single organization, department, field mission or task force, or an independent body. Thus a small organization may be considered a record group, and its central registry and decentralized functional files as records series thereunder.

6.96 Symbols for identification of archives differ among agencies. A commonly-used system consists of the initials or acronym of the record group and subgroup, plus an assigned number to indicate records series. Some agencies, which do not allow public access to their archives, continue to use the accession number initially assigned at time of transfer.

Finding Aids (Sec. 5.4)

6.97 The traditional archival finding aid is the descriptive inventory. In UN agencies, this generally incorporates the list of folders prepared by the originating office (often amplified by the record centre) and attached to the accession report. At the record group level, it also includes a brief administrative history of the organization or major body. Other finding aids include central registry and departmental files classification plans and item or folder indexes. Subject indexes and subject bibliographies of related material within various record groups or record series are required to facilitate

reference. A printed agency guide, in leaflet form, to the resources and procedures for access to Archives often include lists of major record groups and subgroups available for research. For archives open to public use, descriptions of resources in printed guides, such as the Guide to Archives of International Organizations, and general publications containing bibliographies of archival and library sources available for research are important means for bringing agency information resources to public attention.

Automation: Application to Archives (Sec. 5.5)

6.98 The application of word processors and computers to the preparation of inventories and subject indexes should be studied and undertaken whenever possible to save unnecessary routine work. Systems now in use in some record centres for listing the status of holdings are easily carried over to archives use, when the holdings are identifed separately. Computer-assisted indexing with reference on-line or on printout is an invaluable means of facilitating access. In that connection, the archives should not be reluctant to convert library skills to archival procedures by adding professional librarians or library-trained archivists to the staff. Software packages, such as SPINDEX and others, should be utilized insofar as possible to facilitate reference access and for administrative control.

Access and Restrictions on Use (Sec. 5.6)

6.99 Public access to the archives of international organizations should be given in most cases after a maximum general delay of 30 years, except for specific cases where a longer period would be necessary. The exceptions to the 30-year rule would be for records relating to national, regional and international security and defense; records containing business, financial or other economic information of individual nations, firms, or establishments submitted in confidence to the organization; and personnel records containing information concerning the physical or mental health of individuals, and other

information the disclosure of which would constitute an unwarranted invasion of personal privacy.

6.100 Automatic declassification of security-classified records after the expiry of specified retention periods should be practiced whenever possible. In other cases, a decision should be made on the recommendation of the Archivist by the head of the organization, by designated senior officials (e.g., department heads or deputies), or, in exceptional cases, by an ad hoc committee appointed by the head of the organization.

Research Services and Facilities (5.6.3)

6.101 Access of the agency archives to outside researchers should be accompanied by precise regulations to ensure the serious purpose of the request, understanding of the conditions for use of the archives, and protection of the material from harm or loss. Rules for access and a description of research services and resources should be available in printed form to all potential researchers.

6.102 The Archivist is responsible for seeing that the searcher has access, without favor or privilege, to all relevant records open to the public and that finding aids and adequate work facilities are available. Precautions should be taken to protect the physical condition and integrity of the records consulted and to see that regulations regarding use, citation of sources, submission of manuscript and/or notes (if required), and deposit of the finished work are observed.

Publication of Archival Material (Sec. 5.7)

6.103 The Archivist should cooperate with the publications staff in ensuring that publications contain authentic texts and related material and should, when possible, prepare indexes and annotations to historical publications. Recommendations for publication of important collections of records--in paper or microform--should be made to promote research and to mark commemorative occasions.

Storage and Security (Sec. 5.8)

(a) Space Allocation (5.8.1)

6.104 Buildings used as archives repositories should be considered in terms of location, accessibility to public transportation, fire and security protective services, and adequacy of structure and facilities.

6.105 Measures should be taken regarding records space in buildings not purpose-built to ensure the security and preservation of archives, including climate controls, lighting, fire safety and guard services, and optimum working conditions for staff.

6.106 Purpose-built archives buildings should be considered for eventual use, particularly in the context of archival services for related organizations within regional locations.

(b) Furnishings and Equipment (5.8.2)

6.107 Comparisons of available types should precede decisions to purchase equipment for new installations, for nonconventional records, or to save space. This should be accomplished by visits to installations of such equipment, and review of technical literature prepared by professional organizations or national archives institutions, which are active in research for the establishment of standards.

6.108 Adequacy and proximity of service facilities, replacement parts, and consumable supplies are important considerations in choosing equipment.

6.109 Careful assessment of needs and purposes of the equipment and furnishings to be secured should be made in order to avoid costly mistakes. Considerations include multiple-use factors so that the equipment can be transferred to other offices when filing needs change, add-on elements for new files, durability to withstand moves and heavy use, and ease of assembling and disassembling (e.g., shelf files), when necessary. Over-stocking of equipment should be avoided

because of changing patterns of records, resulting from technological changes, on the types of equipment in use.

Preservation and Restoration (Sec. 5.9)

6.110 Regional workshops for UN agencies should be organized by the ICA Committee on Conservation and Restoration and Unesco, beginning with tropical areas which have the greatest need, for the training of archivists in preventive preservation and in restoration techniques.

6.111 Regional laboratories should be established, when necessary, to service the needs of a group of agencies. A UN agency which has substantial need for such a facility or a conveniently located national archival institution should provide services to other organizations on a reimbursable basis. Commercial firms having a proven record of satisfactory experience and reasonable prices should be utilized, if available.

6.112 Staff from agencies, which have need of preservation services, should be assigned to work/training or to observe restoration techniques used on their own files.

Archival Reprography (Sec. 5.10)

6.113 Microfilming, photocopying, photography and recorded sound should be considered in terms of:

- prime objectives--reference, preservation, exhibits, records management or security;
- scope--electrostatic or xerographic, micrographic, photographic, sound recording processes;
- cost/effectiveness--evaluation of alternative methods;
- operating facilities--by agency staff or by contractual services;
- maintenance of standards for materials, processing and preservation established by relevant professional media organizations and standards institutes (not necessarily as recommended by manufacturers or vendors) and enforcing effective quality controls.

6.114 Responsibilities for preservation and reference availability include periodic examination of microfilm for aging blemishes; re-recording of audio tapes on permanent master tape; re-recording of magnetic tapes at least every 10 years; photocopying individual documents on acid-free permanent/durable paper and microfilming series of documents in order to preserve the contents of deteriorating originals, either as substitutes (if the originals do not have intrinsic historical importance) or as supplements to protect them from wear and tear.

Exhibits and Other Educational and Cultural Services (Sec. 5.11)

6.115 Exhibits of documents and artifacts from the Archives and from current audiovisual accumulations in functional offices should be placed on view in public areas of the headquarters building in connection with special conferences and to commemorate special events as a means of stimulating the interest of visitors in the work of the agency and broadening their cultural awareness. The Archivist should also cooperate with other offices concerned in preparing descriptive material for that purpose.

6.116 The Archivist can also cooperate in promoting public interest in the agency and an understanding of its policies by providing background material for the holding of symposia and seminars for selected scholars or topical specialists.

6.117 The Archivist should be responsible for seeing that documents are exhibited under proper atmospheric and lighting conditions, that security safeguards are adequate, and that display methods will not damage the material.

6.118 Archivists should cooperate with other organizations and educational and research institutions by participating in professional discussions of mutual interest and by collaborating in joint endeavors to focus attention on the research resources and accomplishments of international agencies.

APPENDIX A

United Nations Agency Staff Who Were Consulted or Returned Questionnaire

Economic Commission for Europe (ECE)
Mrs. Barbara Whitehead, Chief of Meetings and Documentation Unit, Office of Executive Secretary

Economic Commission for Latin America (ECLA)
Mr. Sim Groenteman, Chief, Buildings Management and General Services Section

Economic Commission for Western Asia (ECWA)
Mr. William James Baldie, Chief, General Services Section
Sahar Sinno, Acting Supervisor, Central Registry Unit

Food and Agriculture Organization (FAO)
Ms. P. Wright, Chief, Records and Archives Section (ret.)

General Agreement on Tariffs and Trade (GATT)
Mme. Ch. Schimek, Librarian
Mrs. L. Baussant, Chief, Registry

International Atomic Energy Agency (IAEA)
Mrs. L. Nechutny, Chief, Registry Services
Mr. Josef Katrycz, Senior Archivist

International Labour Office (ILO)
Mr. Nissim Ner, Chief, Current Files and Archives Section
Mrs. Lucia Lorenzo-Pierien

International Monetary Fund (IMF)
Mrs. Gertrude Long, Archivist

United Nations Headquarters, New York (UN)
Mrs. Ofra Core, Chief, Records Management Service, Office of General Services
Mr. Alf M.E. Erlandsson, Chief, Archives Section
Mrs. Elaine F. Mandracchia, Chief, Registry Section

United Nations Office in Geneva (UNOG)
Mr. M. Cortiello, Chief, Registry, Records and Mailing Section
Mr. C. Verguet, Registry Assistant
Mme. A. Rey-Mermier, Head, Codification Unit
Mr. P. Benoit, Head, Records Retirement Unit

United Nations Children's Fund (UNICEF)
Mr. Kevin A. Keefe, Chief, Records Management Unit, Administrative Services Section

Appendix A (continued)

United Nations Conference on Trade and Development (UNCTAD)
Mr. Louis C. Allegrini, Supervisor, Registry
Mr. Dodard, Assistant Supervisor, Registry
Mr. F.W. Schork, Chief, Economic Reference Service, detailed as consultant for setting up archives

United Nations Development Programme (UNDP)
Mr. John P. LeGeros, Chief, Division for Administrative and Management Services

United Nations Educational, Scientific and Cultural Organization (UNESCO)
Mr. Frank B. Evans, Programme Specialist, Division of the General Information Programme
Mr. Markku Järvinen, Chief, Archives Section, Division of Library, Archives and Documentation Service, Sector for Programme
Mr. P. de Rosay, Chief, Registry Division, Bureau of General Services, Sector for General Administration

United Nations Environment Programme, Office in Geneva (UNEP)
Mrs. Beaussant, Head of Registry

United Nations High Commissioner for Refugees (UNHCR)
Mrs. Patel, Consultant on reorganization of records and services

United Nations Industrial Development Organization (UNIDO)
Mrs. Camilla Hertl, Supervisor of Substantive Registry
Mr. Andrade, Personnel Files Supervisor

United Nations Office of the Disaster Relief Co-ordinator (UNDRO)
Mr. E. J. Cieniewicz, Supervisor, Mail and Registry

United Nations Relief and Works Agency (UNRWA)
Ms. E. Rodanas, Records Control Officer

Universal Postal Union (UPU)
Mr. Sven Bäckström, Chief, Administrative Section

World Health Organization (WHO)
Mr. André Sayour, Chief, Records Management Service

World Intellectual Property Organization (WIPO)
Ms. M. Zarb, Chief of Library
Mr. Rossier, Chief of Registry

World Meteorological Organization (WMO)
Ms. Ingeborg Holder, Chief, Central Registry and Archives

World Bank Group (IBRD, IDA, IFC)
Mr. Donald K. Bloomfield, Chief, Records Management Division

UNITED NATIONS

SECRETARIAT

APPENDIX B (1)

ST/SGB/158
28 July 1977

SECRETARY-GENERAL'S BULLETIN

To: Members of the staff

Subject: THE UNITED NATIONS ARCHIVES

1. The purpose of this Bulletin is to restate certain rules 1/ with regard to the preservation of records of the United Nations, and to prescribe custodial responsibility therefor.

2. The United Nations Archives shall be responsible for the custody, preservation and servicing of the archival material and records of the United Nations which include all records, regardless of their physical type, made or received by the United Nations that should be preserved because of their administrative, legal, historical or other value as evidence of the official business of the United Nations. The archival material and records of the United Nations are not limited to those of the Headquarters Secretariat and its predecessor bodies but include the archives and records of United Nations secretariat units away from Headquarters and subsidiary organizations of the United Nations.

3 The archival material and records of the United Nations shall be inviolable and may not be destroyed or removed from any United Nations premises without specific written authorization from the Archivist or, in his absence, authorization from his supervisors.

4. The United Nations Archives may be made available to Secretariat officials subject to any conditions under which the material was accepted by the Archives.

5. The United Nations Archives shall promote scholarly research concerning the United Nations and, to that end, will make available to the public the archival material and non-current records of the Organization, in accordance with prescribed regulations. The detailed functions of the United Nations Archives are set out in ST/SGB/Organization, section P III. Regulations governing access and the obligation to transfer records to the United Nations Archives and other provisions including definitions of the terms shall be issued in subsequent Administrative Instructions.

Kurt WALDHEIM
Secretary-General

1/ As contained in the main in SGB 63/Rev.1 of 14 July 1948.

77-14303

UNITED NATIONS

SECRETARIAT

APPENDIX B (2)

ST/AI/252
28 October 1977

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Under-Secretary-General for Administration and Management

Subject: THE UNITED NATIONS ARCHIVES

1. Pursuant to paragraph 5 of ST/SGB/158 dated 28 July 1977, this instruction details the rules and procedures to be followed in respect of transfer, maintenance, custody and disposition of the archives and non-current records of the United Nations and also explains the guidelines concerning internal and public access to the United Nations archives.

I. Responsibilities of the Archives Section

2. Management and preservation

The Archives Section shall maintain, preserve and repair the archives and non-current records of the United Nations and shall arrange and describe the archival groups and prepare finding aids to make them available for use.

3. Transfer of non-current records

When required, the Archives Section shall effect the mandatory transfer from Secretariat units to its premises of archives and non-current records which are more than three years old. In exceptional cases where shorter or longer term retention periods are deemed desirable, a schedule mutually agreed upon between the Archives Section and Secretariat units concerned may be established.

4. Conditions of access

The Archives Section shall make available archives and non-current records under the following conditions:

(a) To Secretariat units - archives and records necessary to the conduct of their official business except those subject to restrictions imposed by the Secretary-General.

(b) To the public - archives and records that were originally public at the time of their creation and those archives and records which are more than 20 years old and which are not subject to restrictions imposed by the Secretary-General.

5. Disposal

With the agreement of the Secretariat unit concerned, the Archives Section shall dispose of non-current records that have no further administrative, legal, historical or other informational value.

6. Temporary retention

The Archives Section may authorize Secretariat units to retain, on a temporary basis, such archives and non-current records which may be three or more years old as may be deemed necessary for the proper performance of official business.

II. Responsibilities of Secretariat units at Headquarters

7. Transfer of non-current records

Secretariat units shall transfer their non-current records to the Archives Section in accordance with predetermined disposition schedules, mutually agreed upon between the Archives Section and Secretariat units concerned. Prior to transferring their records, Secretariat units shall prepare them for transfer in accordance with the format established by the Chief of the Archives Section.

8. Conditions for temporary retention

Secretariat units that need to retain archives and non-current records beyond the normal three-year period for the conduct of their official business, may do so provided they establish suitable conditions for the preservation of the archives and records as approved by the Archives Section.

9. Disposition

Secretariat units shall not dispose of records in their possession without the written authorization of the Chief of the Archives Section. The latter may require that samples of the records proposed for disposal be sent to him for review prior to authorizing disposal.

III. Responsibility of staff members

10. Inviolability of records

Prior to separation from the United Nations, staff members shall make arrangements for the transfer to the Archives Section those records in their

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possession not retained for their successor and shall not remove any records from the United Nations premises. The Chief of the Archives Section may inspect all records of a staff member prior to separation from service.

IV. Responsibilities of Secretariat units away from Headquarters

11. The Archives Section shall set standards for the maintenance, preservation, repair, arrangement, description and disposal of, and public access to, the archives and non-current records of Secretariat units away from Headquarters, such as the United Nations Office at Geneva, regional commissions, United Nations Conference on Trade and Development (UNCTAD), United Nations Industrial Development Organization (UNIDO), United Nations High Commissioner for Refugees (UNHCR), United Nations Relief and Work Agency (UNRWA) and information centres which may assume the functions as detailed herein in agreement with the Chief of the Archives Section of the United Nations. In the event of the closure of an office, its archives and records shall be transferred to the United Nations Archives Section, in accordance with procedures to be laid down after mutual consultation between the office and the Archives Section.

V. Archival guidance to other organizations

12. Archival guidance may be provided by the Archives Section when requested by other organizations such as the United Nations Development Programme (UNDP), United Nations Children's Fund (UNICEF), United Nations Institute for Training and Research (UNITAR) in respect of setting standards and guidelines for various archival procedures.

VI. Explanation of terms

13. For the purpose of this instruction, records are all documentary materials regardless of physical type received or originated by the United Nations and staff, excluding "United Nations documents"; non-current records are those which are no longer needed for daily use in the transaction of official business but which should be preserved on a temporary basis because of administrative or legal consideration; the term archives applies to those records to be permanently preserved for their administrative, legal, historical or informational value; an archival group is a body of organizationally related records established on the basis of their origin; disposition is the action taken with regard to non-current records following their appraisal: the action includes transfer to a temporary storage area, transfer to the Archives, reproduction on microforms and disposal; disposal is the act of the destruction of records by appropriate methods.

APPENDIX C (1)

UNITED NATIONS SECRETARIAT

VACANCY ANNOUNCEMENT No. 79-D-DAM-016-NY (three posts)

Post title	Level	Date for entry on duty	Vacancy notice issued
RECORDS MANAGEMENT OFFICER (ARCHIVIST) (three posts)	P-3	August 1979 or earlier	26 April 1979

Organizational Unit

ARCHIVES SECTION
RECORDS MANAGEMENT SERVICE
COMMUNICATIONS, RECORDS AND COMMERCIAL SERVICES DIVISION
OFFICE OF GENERAL SERVICES

The Archives Section exercises responsibility for the custody, preservation and servicing of the archival material and records of the United Nations, provides records management advice and assistance in those matters and promotes scholarly research concerning the United Nations. The Records Management Officer reports to the Chief of Section.

Duty Station

NEW YORK

Deadline for applications

25 June 1979

All Vacancy Announcements invite both female and male candidates.

The men and women to whom this Announcement is addressed should note that United Nations staff members are international civil servants subject to the authority of the Secretary-General and may be assigned by him to any of the activities or offices of the United Nations.

Functions

Analyses, arranges and describes archives in accordance with their origin.

Makes studies of, and research concerning, organizational patterns for arrangement and description projects. Prepares introductions to Descriptive Inventories and other Finding Aids.

Undertakes studies and prepares papers on records management systems and their relation to the archives function.

Appraises semi-current and non-current records; recommends, on basis on this appraisal, for the approval of the Chief of Section, those records which should be disposed and those which should be kept permanent as archival records (the final decision concerning disposal remains with the Chief of Section).

Prepares retention and disposal schedules on basis of the Chief of Section's decision on what shall be disposed and what shall be kept permanently; consults the originating offices concerning retention periods for those records which have been approved by the Chief of Section as disposable.

Organizes and carries out the physical transfer and accession of non-current or semi-current records from originating offices to the archives; maintains liaison with originating offices; supervises the clerical procedure for transfer and accession.

Supervises staff assigned to arrangement and description activities; trains staff members in the above functions.

Assists in giving advice to visiting scholars, and Secretariat requests for research into the archives.

Supervises the microfilming of permanent archival records and reference service.

Qualifications - Essential

Advanced university degree in the social sciences. Familiarity with the existing research needs and changing requirements of historiography, as well as the special problems of intergovernmental organizations.

Five years' professional relevant experience.

A higher level degree (Ph.D. or equivalent) may be substituted for two years' professional experience. Candidates with first level university degree and at least seven years of experience may be considered.

Fluency in English or French; working knowledge of the other desirable.

Qualifications - Desirable

Courses in Archives, Records Administration, Management.

APPENDIX C (2)

January 1982

JOB DESCRIPTION

Post Title: Assistant Records Management Officer

Category and Level: Professional (P-1) and P-2

Department: Office of General Services
Records Management Service
Records Decentralization Unit

Duties of Post: Under the direction of the Coordinator, Records Management Programme and within prescribed procedures and an overall plan:

a. implements a records management programme for a designated office;

b. analyzes inventory data, office material, and workflow patterns and develops a classification plan for the records of an office;

c. reviews paperwork processes and practices and prepares records management manuals and instructions for use by the office staff;

d. recommends an office retention schedule;

e. acts as team leader of a group conducting inventories of existing office records;

f. trains staff assigned to records management duties in the operation of the records management programme and in records management procedures;

g. makes recommendations on micrographic applications, vital records protection, use of file storage equipment, and forms utilization;

h. makes periodic audits of implemented programme to ensure conformity with the system recommended;

P-1 only i. performs other administrative duties assigned by the Chief, Records Management Service.

APPENDIX C (3)

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

GENERAL SERVICE VACANCY ANNOUNCEMENT No. GS/2384-ESC

Post Title and Grade	Post No.	Duration	Posting Time
REGISTRY CLERK G-4	6220-0785	Continuing	Date issued: 8.9.81
Organizational Unit: Commodities and Trade Division, Office of Director; Admin. Office	Location: Rome		Closing date: 21.9.81

DUTIES AND RESPONSIBILITIES

Under general supervision the incumbent is responsible for maintaining the divisional Registry. Specifically the incumbent:

- Codes correspondence and documents and indicates routing in accordance with standard registry procedures.
- As requested, provides material pertaining to a particular topic. This necessitates contacts with the Records and Archives Unit, searching for cross-referenced documents, communication with other registries and generally developing a complete coverage of the topic.
- Provides reference services from the registry files and documents by assisting division's staff in retrieving correspondence and information.
- Maintains close contact with the Records and Archives Unit on any problems encountered, recommending transfer of inactive files.
- Processes and checks coding of outgoing mail and ensures that this reaches the mail operations for timely dispatch.
- Ensures proper maintenance of the files according to the standard registry file coding system.
- Supervises the work of other registry clerks. Allocates work in order to achieve a timely and balanced operation.
- Performs other related duties as required.

SAMPLE

QUALIFICATIONS - Essential

Secondary school education.
Three years clerical experience including two years in FAO registry work.
Working knowledge of English (level C) and knowledge of French and/or Spanish (level B) and limited knowledge of the other language (level A).
Satisfactory completion of the registry training course; initiative and reliability; ability to work under minimum supervision and to supervise the work of other registry personnel; capacity for volume of work; courtesy, tact and ability to work with people of different national and cultural backgrounds.

APPENDIX D

MINISIS Application for Mail at the International Labour Office

The International Labour Office receives and sends out approximately 775,000 pieces of correspondence annually (1), processed by a central service, the Section of Current Files and Archives; the actual dispatch is made by the Communications Services Section (2).

The greater portion of these communications are recorded and sorted by the Section of Current Files and Archives, the remainder being entrusted to the care of partially or completely decentralized services. In order to record and sort the correspondence, as well as to identify the addressee and consequently where the correspondence was filed, the Section of Current Files and Archives maintains various finding aids - manual (i.e. extra copies, alphabetical indexes, alphanumeric indexes, lists of names, of projects, etc.), as well as computerized. At present, the Section has a computerized index, a data base called MAILOG.

MAILOG records information concerning part of the correspondence received and sent out (approximately 12.5 percent), the selection criteria being its relative importance and how often records are accessed. This permits the identification and locating of the correspondence.

COMMUNICATIONS RECORDED IN MAILOG
JANUARY - MARCH 1981

	Written Communications	Telegraphic Communications	Total
Communications Received	6315	5706	12021
Communications Sent	7199	4869	12068
Total	13514	10575	24089

1) Written and telegraphic correspondence received and sent; printed matter, parcels and packages received.

2) Furthermore, some 1,000,000 parcels containing ILO publications and documents are sent out each year by another service, responsible for shipping these items.

It should be noted that during the period January/March 1981, 16,959 incoming written communications and 8,223 incoming telegraphic communications were processed and input by the Section of Current Files and Archive.

At present, the recording and retrieval of data in MAILOG is done exclusively by the Section of Current Files and Archives. We will be permitting other services access to MAILOG, after ensuring that certain features are taken into account, for example, security.

The work involved in the processing and inputting of the data is divided among several operators who also are responsible for other work within the Section, either on a temporary or full-time basis. They have three terminals at their disposal and spend approximately 21 person-hours per day doing the work on terminals.

The MAILOG data base contains the following fields:

FIELD NAME	MNEMONIC	TAG	LENGTH	REPEAT	SUBFIELD	PROMPT	VALIDATE	KEY
TYPE/DIRECTION (IN/OUT)	TD	M010	2	NO	NO	YES	NO	NO
TYPE	TYPE	M050	1	NO	NO	NO	NO	NO
DIRECTION	DIR	M060	1	NO	NO	NO	NO	NO
CORRESPONDENT	CNAME	M100	140	NO	YES	NO	NO	NO
NAME	NAME	M101	40	NO	NO	YES	NO	YES
INITIAL	INIT	M102	2	NO	NO	YES	NO	NO
TITLE	TITLE	M103	100	NO	NO	YES	NO	NO
ORGANISATION CODE	ORG	M200	30	NO	NO	YES	NO	YES
FULL ADDRESS	ADDR	M300	200	NO	NO	YES	NO	NO
FILE REFERENCE	FILE	M400	50	YES	NO	YES	NO	NO
REGISTRY NUMBER	REG	M020	6	NO	NO	YES	NO	NO
DATE OF CORRESPONDENCE	DATE	M030	8	NO	NO	YES	NO	NO
ILO UNIT	UNIT	M500	10	YES	NO	YES	NO	YES
CITY (ITINERARY)	CITY	M700	30	YES	NO	NO	NO	YES
DATES OF MISSION	DATEM	M800	20	NO	NO	NO	NO	NO
PURPOSE OF MISSION	PUR	M900	300	NO	NO	NO	NO	NO
REVISION (R OR BLANK)	REV	M910	1	NO	NO	NO	NO	NO
NOTES	NOTES	M600	300	YES	NO	YES	NO	NO
MEETING	MEETG	M850	650	NO	YES	NO	NO	NO
PLACE OF MEETING	PLAME	M851	30	NO	NO	YES	NO	YES
DATES OF MEETING	DATME	M852	20	NO	NO	YES	NO	NO
TITLE OF MEETING	TITME	M853	300	NO	NO	YES	NO	NO
ORGANISING BODY	ORGME	M854	300	NO	NO	YES	NO	YES
OFFICIAL-EXPERT-CANDIDATE	OFF	M750	30	YES	NO	YES	NO	YES
OPERATORS INITIALS	OPER	M040	2	NO	NO	YES	NO	NO

MAILOG also incorporates information on missions undertaken by members of head office staff. This view contains the following fields:

TYPE/DIRECTION (IN/OUT)	TD	M010	2	NO	NO	YES	NO	NO
TODAYS DATE	TDATE	M030	8	NO	NO	YES	NO	NO
OFFICIAL'S	CNAME	M100	140	NO	YES	NO	NO	NO
NAME	NAME	M101	40	NO	NO	YES	NO	YES
INITIAL	INIT	M102	2	NO	NO	YES	NO	NO
MISSION-AREA	ORG	M200	30	NO	NO	YES	NO	YES
FILE REFERENCE	FILE	M400	50	YES	NO	YES	NO	NO
ILO UNIT	UNIT	M500	15	YES	NO	YES	NO	YES
CITY (ITINERARY)	CITY	M700	30	YES	NO	YES	NO	YES
DATES OF MISSION	DATEM	M800	20	NO	NO	YES	NO	NO
PURPOSE OF MISSION	PUR	M900	300	NO	NO	YES	NO	NO
REVISION (R OR BLANK)	REV	M910	1	NO	NO	YES	NO	NO
NOTES	NOTES	M600	300	YES	NO	NO	NO	NO
MEETING	MEETG	M850	650	NO	YES	NO	NO	NO
PLACE OF MEETING	PLAME	M851	30	NO	NO	YES	NO	YES
DATES OF MEETING	DATME	M852	20	NO	NO	YES	NO	NO
TITLE OF MEETING	TITME	M853	300	NO	NO	YES	NO	NO
ORGANISING BODY	ORGME	M854	300	NO	NO	YES	NO	YES
OPERATORS INITIALS	OPER	M040	2	NO	NO	YES	NO	NO

Retrieval of data on correspondence and on missions is done on terminals, using one field or combining several. It is of course possible to get a print-out from the printer.

The printer is also used to retrieve:

- a list of the previous day's input (proof list)
- a list of missions sorted alphabetically by person's name
- a list of missions sorted alphabetically by destination
- a list of International Labour Organization meetings and those to which they have been invited, sorted alphabetically by city and in chronological order.

The present state of the MAILOG data base and of its Mission view is far more complex than when it was first created. New requirements (missions, meetings) necessitated enhancements and it is quite certain that modifications and further enhancements will be necessary in the future.

Nissim Ner
Head of the Section of Current Files
and Archives
International Labour Office

APPENDIX E (1)

ST/SGB/135
26 December 1969

SECRETARY-GENERAL'S BULLETIN

To: Members of the staff

Subject: ACCESS TO LEAGUE OF NATIONS ARCHIVES

With effect from the date of issuance of this bulletin, access to the archives of the League of Nations at the United Nations Office in Geneva will be governed by the following rules.

U THANT
Secretary-General

RULES GOVERNING ACCESS TO THE ARCHIVES OF THE LEAGUE OF NATIONS

General conditions of access

1. The archives of the League of Nations, with the exception of the categories of material defined in paragraph 3 below, shall be open for consultation *in situ* from the beginning of the calendar year following the date on which the most recent item in the file concerned has attained forty years.

Exemptions

2. The Director-General of the United Nations Office at Geneva may grant exemptions from the rule stated in paragraph 1 in favour of researchers proving a legitimate interest in material of more recent date. The Director-General may, however, refuse applicants access to documents which are unmistakably still of a confidential or secret nature. The beneficiary may be required to undertake to submit the manuscript of his work to the Director-General before publication.

General inaccessibility of:

3. The following items shall remain closed for a period of sixty years:

Documents of States

(a) Files containing internal documents of national administrations unofficially communicated at the time to League of Nations officials or commissioners by Governments whose archives are not open to researchers for the dates in question;

Documents which might endanger individuals

(b) Files containing documents which, if divulged, might injure the repute, affect the privacy or endanger the safety of individuals;

Personal files

(c) Personal files of officials or agents of the League of Nations.

Reproduction and publication

4. The copying, reproduction and publication of documents to which access is given shall be subject to the following principles:

Copyright

(a) Researchers shall be warned that the United Nations is not in a position to release them from any obligations in respect of copyright held by persons whose works may be found in the archives;

Whole archive groups

(b) The reproduction or publication of large bodies of files (whole archive groups or large series therein) shall not be permitted;

(c) The United Nations services shall not be obliged to carry out the actual work of reproduction, even against payment.

5. The Director-General of the United Nations Office at Geneva shall be responsible for the implementation of this decision, particularly with regard to the determination of reserved files, the practical methods of providing access and the granting of the exemption for which provision is made in paragraph 2. He shall report annually to the Secretary-General on the operation of these rules, and shall report on each occasion when important exemptions are granted pursuant to paragraph 2.

APPENDIX E (2)

ORGANISATION DES NATIONS UNIES POUR L'ALIMENTATION ET L'AGRICULTURE

ORGANIZACION DE LAS NACIONES UNIDAS PARA LA AGRICULTURA Y LA ALIMENTACION

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS

Via delle Terme di Caracalla, 00100 - ROME Cables: FOODAGRI ROME Telex: 61181 FOODAGRI Telephone: 5797

Ref June 1976

FAO ARCHIVES REFERENCE AND RESEARCH RULES

Records in the FAO Archives which are ten or more years old are, generally speaking, open for consultation to persons outside the FAO secretariat who demonstrate a legitimate interest in them.

FAO Archives are open Monday through Friday, except holidays, from 09.00 hrs. to 13.00 hrs. and 14.30 hrs. to 16.30 hrs.

Records may be consulted in situ only; they are not given out on loan.

Requests to use FAO Archives should be directed to the Chief, Communications, Archives and Records Section, Room B-006, FAO, and should include the following information:

i) precise scope of the search, i.e. subject matter, date periods, etc.

ii) purpose of the search and form in which the results will appear, e.g. publications, thesis, etc.,

iii) published FAO material already consulted,

iv) name of institution(s) with which the searcher is connected,

v) names of two persons from whom enquiries may be made regarding the searcher and his work.

Special restrictions apply to certain records. For access to these, the "FAO Archives Reference Restriction" series should be consulted.

Rules governing copyright apply to material published as a result of the use of FAO Archives. FAO is not in a position to relieve searchers from any obligations in respect of copyright held by third persons whose work may be found in the Archives.

FAO may require searchers to submit manuscripts resulting from their research in the Archives.

A reference room equipped with microfilm reader/printer and typewriter is available to searchers.

Photocopies (cms. 21.5 x 35.5 maximum)	$US	.10
Microfilm photoprints (cms. 21 x 28)	$US	.10

FAO Archives has standing arrangements with Centro Servizi Microfilm, Via Francesco Satolli 53, Rome, Italy, for the reproduction of its microfilms (all 16 mm.). Persons requiring copies may purchase them directly from the above firm after having obtained FAO's permission for reproduction.

Requests for information from FAO Archives by correspondence are filled as staff resources permit.

206

APPENDIX E (3)

UNESCO

August 1977

RULES GOVERNING ACCESS BY OUTSIDE PERSONS TO UNESCO ARCHIVES

The Rules set out below govern the access by persons other than members of the Secretariat to the archives of Unesco, including access to the archives that other bodies have deposited with the Organization. The Rules are drawn to the attention of such persons by the Chief Archivist of the Unesco Secretariat.

1. Unesco documents and field mission reports, Unesco publications and Unesco-licensed publications are freely accessible in the reading room of the Archives Section. However, documents marked restricted or confidential may be consulted only if the prior agreement of the relevant unit of the Secretariat has been obtained.

2. Secretariat records, correspondence and administrative files are open for consultation after thirty years, counted from the most recent item in the file, with the exception of certain types of materials where Unesco may decide on a shorter period, and of the following materials which are open for consultation, unless Unesco decides otherwise, only after fifty years:

   (a) files containing exceptionally sensitive information on relations between Unesco and its Member States, between Unesco and the United Nations, intergovernmental and non-governmental organizations;

   (b) files containing papers which, if divulged, might injure the reputation, affect the privacy or endanger the safety of individuals;

   (c) personnel files of officials or agents of Unesco;

   (d) confidential files of the offices of the Unesco Director-General, Deputy Director-General and Assistant Directors-General.

3. Access to a paper or file that is within the open period may however be refused if the Chief Archivist of the Unesco Secretariat considers that it is unmistakably of a confidential nature still.

4. An exception regarding access to a paper or file that is not yet in the open period may be made by the Chief Archivist, with the agreement of the appropriate official(s) or unit(s) of the Secretariat, subject to the terms of paras. 5, 6 and 7 below and provided that:

   (a) he is satisfied that the applicant, who may be required to provide documentary evidence, has a legitimate interest in material of more recent data, and

   (b) the granting of access to such material would in no way be detrimental to the interests of the Organization.

5. According to the type of material consulted, a beneficiary proposing to make use thereof in a text to be published may be required to submit the manuscript to Unesco for its agreement on the parts of concern to the Organization.

6. For the copying, reproduction and/or publication of material in the Unesco Archives to which access is granted, the Organization is unable to release beneficiaries from any obligations that may exist in respect of the copyright ownership of such material.

7. A beneficiary is required to deposit with the Unesco Archives one copy, on issue, of any text that, in whole or in part, is based on or relates to material made available from the archives of the Organization.

APPENDIX F

Standards for Access to Research Materials In Archival and Manuscripts Repositories *

1. It is the responsibility of an archival and manuscript repository to make available research materials in its possession to researchers on equal terms of access. Since the accessibility of material depends on knowing of its existence, it is the responsibility of a repository to inform researchers of the collections and archival groups in its custody. This may be accomplished through a card catalog, inventories, and other internal finding aids, a published guide and reports to NUCMC where appropriate, and the freely offered assistance of staff members.

2. To protect and insure the continued availability of the material in his custody, the archivist may impose several conditions. (a) The archivist may limit the use of fragile or unusually valuable materials so long as suitable reproductions are made available for the use of all researchers. (b) All materials must be used in accordance with the rules of and under the supervision of the repository. Each repository should publish and furnish to potential researchers its rules governing access and use. Such rules must be equally applied and enforced. (c) The archivist may refuse access to unprocessed materials, so long as such refusal is applied to all researchers. (d) Normally, a repository will not send research materials for use outside its building or jurisdiction. Under special circumstances a collection or a portion of it may be loaned or placed on deposit with another institution. (e) The archivist may refuse access to an individual researcher who has demonstrated such carelessness or deliberate destructiveness as to endanger the safety of the material.

3. Each repository should publish a suggested form of citation crediting the repository and identifying items within the collection for later reference. Citations to copies of which the originals are in other repositories should include the location of the originals.

4. A repository should advise the researcher that he and his publisher have the sole responsibility for securing permission to publish beyond fair use from unpublished manuscripts in which literary property rights are retained or from materials protected by statutory copyrights, or to publish extensive quotation (beyond fair use) from copyrighted works. A repository should, to the best of its ability, inform the researcher about known retention of literary rights.

5. A repository should not grant privileged or exclusive use of materials to any person or persons, or conceal the existence of any body of material from any researcher unless required to do so by law, donor, or purchase stipulations.

6. A repository should, whenever possible, inform a researcher of parallel research by other individuals using the same papers. It may supply names upon request.

7. Repositories are committed to preserving manuscript and archival materials and to making them available for research as soon as possible. At the same time, it is recognized that every public agency has certain obligations to guard against invasion of privacy and to protect confidentiality in its records in accordance with law and that every private donor has the right to impose reasonable restrictions upon his papers to protect confidentiality for a reasonable period of time. (a) It is the responsibility of the archivist to inform researchers of the restrictions which apply to individual collections or record groups. (b) The archivist should discourage donors from imposing unreasonable restrictions. (c) The archivist should, whenever possible, require a specific time limit on all restrictions. (d) The repository should periodically reevaluate restricted records and work toward providing access to material no longer harmful to individuals or to national interest.

* Prepared by the SAA Committee on Reference and Access Policies and approved by the Council of the Society in April 1976. It was printed in *American Archivist* 39 (July 1976): 411.

Statement on the Reproduction of Manuscripts and Archives for Reference Use*

1. It is the responsibility of a library, archives, or manuscript repository to assist researchers by making or having made reproductions of any material in its possession, for research purposes, subject to certain conditions. Manuscript and archival materials may be reproduced if: (a) The condition of the originals will permit such reproduction. (b) The originals have no gift, purchase, or legal restrictions on reproduction.

2. In the interest of making research collections more generally available, the orderly microfilming of archives and entire manuscript collections, together with appropriate guides, is to be encouraged, within the available resources of the repository.

3. The price of reproductions shall be set by the repository, which should endeavor to keep charges to a minimum.

4. Copies should be made for reference use as follows: (a) Repositories which permit their manuscript and archival holdings to be reproduced in whole or in part must specify before the copies are made what restrictions, if any, have been placed on the use or further reproduction of copies. (b) Repositories may require that purchasers agree in writing to abide by any restrictions. (c) All reproductions should identify the source of the original manuscript collection or archival record group.

5. The repository should inform the researcher: (a) When and under what conditions permission to make extensive direct quotation from or to print in full any reproduction must be obtained from the institution owning the originals. (b)That in the case of material under copyright, the right to quote or print, beyond fair use, must also be obtained by the researcher from the copyright owner. (c) That the researcher assumes legal responsibility for observing common law literary rights, property rights, and libel laws. (d) Of known retention of literary rights.

6. A repository may decline to furnish reproductions when fulfilling mail requests requires subjective criteria for selection of material to be duplicated or the commitment of an unreasonable amount of staff time for extended research to identify the material.

7. In cases when researchers request the reproduction of large amounts of material which they have identified in the course of their research, the repository may prescribe a preferred method of copying (i.e., microfilm vs. xerox) and may provide for a reasonable time period in which to produce the copies.

*Prepared by the SAA Committee on Reference, Access, and Photoduplication and endorsed by the Council of the Society in December 1973. It was printed in *American Archivist* 37 (January 1974): 153-154.

ARCHIVES SECTION
Monthly Statistics

Month:
Year:

Archive Group	Transfer		Accession			Disposal			Processing			Micro-filming			Reference			Superv. & Adm.		Adm. Support		Total Staff		Holding Prev. Month	Holding Pres. Month
	SN	SD	V	SN	SD	V	SN	SD	V	SN	SD	V	SN	SD	V	SN	SD	SN	SD	SN	SD	SN	SD		
General																									
PAG-1																									
PAG-2																									
PAG-3																									
PAG-4																									
PAG-5																									
PAG-6																									
RAG-1																									
RAG-2																									
RAG-3																									
DAG-1																									
DAG-2																									
DAG-3																									
DAG-4																									
DAG-5																									
DAG-6																									
DAG-7																									
DAG-8																									
DAG-9																									
DAG-10																									
DAG-11																									
DAG-12																									
DAG-13																									
DAG-14																									
DAG-15																									
DAG-16																									
DAG-17																									
DAG-18																									
ROAG-1																									
ROAG-2																									
ROAG-3																									
ROAG-4																									
ROAG-5																									
ROAG-6																									
ROAG-7																									
TOTAL																									

FIGURE 1

FIGURE 2

SEC-12, Rev. 2
4-1-77

INTERNATIONAL MONETARY FUND

INVENTORY OF RECORDS AND PUBLICATIONS IN FUND OFFICES

Page ____ of ____

INSTRUCTIONS: This form should be prepared by the person in charge of the files for each office (Immediate Office, Division, Section or similar unit). The types of material commonly found in Fund offices are described on the reverse side. For assistance in filling out this form, please call extension 6024 or 6025. Forward the completed form to the Records Management Unit, Room C-106.

DEPARTMENT:			NO. of STAFF*
DIVISION:	SECTION and/or UNIT:		
PREPARED BY:		DATE:	

ITEM NO.	DESCRIPTION	INCLUSIVE DATES		SPACE OCCUPIED		TYPE OF MATERIAL (Check box below)		
		FROM	TO	NO. OF DRAWERS	NO. OF SHELVES	CORRES. &MEMOS	FUND DOCS.	OTHER

TYPES OF MATERIAL COMMONLY FOUND IN FUND OFFICES (Reverse side)

I. FILES SERIES

(Itemize title of each file series in use)

General (administrative matters, countries, international organizations, and subjects in a single alphabetical arrangement) (attach list of folder titles)
Chronological (reading file)
Country and Area (attach list)
International and Regional Organizations (attach list)
Consultations (list countries and consultations years)
Missions (attach list)
Subject (attach list of folder titles)
Country Desk Informational Files (list countries, attach classification scheme if any)
Country Books (documents, correspondence, and memos in binders)
Administrative (e.g., budget, organization, work reports, staff notices and bulletins, office space, entertainment, graphic and printing services, health, retirement, staff relations, supplies and equipment, travel, etc.) (attach list of folder headings)
Personnel (specify whether general information and/or files on individuals. In some offices, this may be included within the Administrative series.)

II. DOCUMENTS, PUBLICATIONS, AND ISSUANCES

(List by title or category)

III. SUPPLIES, SPECIAL FORMS, AND SPARE COPIES

(Specify and indicate amount in "Space Occupied" column)

*Total professional and clerical staff in reporting unit, including staff on long-term missions.

.IS

UNITED NATIONS ARCHIVES

RETENTION SCHEDULE FOR REGISTRY FILES

SOCIAL AFFAIRS SERIES

FIGURE 3 (a)

Date 18 MAY 1976

The attached schedule, prepared by Archives, has been approved by the Assistant Secretary-General for Social Development and Humanitarian Affairs, in a memorandum dated 23 January 1976. The schedule is effective as of this date and will henceforward be utilized as a permanent guide for the retention and disposal of all Registry subject files on SOCIAL matters. Any additions or changes which may seem necessary from time to time should be brought to the attention of Archives.

Throughout this schedule the word "indefinite" under column heading "Retention Period" appears against files which contain policy, procedural, confidential or restricted material. This designation does not, however, imply permanent retention of the files. Rather, such files will be reviewed at a much later stage in order to determine their ultimate disposition.

Among the case files, which are to be retained for periods ranging from two to ten years, there may exist, in some cases, policy, procedural, confidential or restricted files. It is understood that these will need to be separated at the appropriate time and to be retained on an indefinite basis.

NGR/CHR
18 May 1976

 APPROVED 23 JAN. '76

UNITED NATIONS ARCHIVES

RETENTION AND DISPOSAL SCHEDULE FOR REGISTRY FILES

SOCIAL AFFAIRS SERIES

FIGURE 3 (b)

Item No.	File No.	Subject	Retention Period
		SOCIAL MATTERS - SO 000	
		Social Development - SO 100 (1)*	
1	SO 100	Social Welfare - General	10 years
2	SO 100 PI	Social Welfare - Public Interest	2 years
3	SO 100	Social Welfare - Case Files of General Correspondence by Area, e.g.: Africa, APE, etc.	10 years
		General - SO 110	
4	SO 111	Co-operation and Consultation	10 years
5	SO 111(1) to (6)	Co-operation and Consultation Case Files of General Correspondence by UN Organs and Offices Specialized Agencies, IGO's, NGO's and Individual Experts	10 years
		Commission for Social Development - SO 112 (1)*	
6	SO 112	Social Commission - Terms of Reference and Rules of Procedure	Indefinite
7	SO 112	Commission for Social Development (1)*	Indefinite
		Nominations, Appointments of Representatives, Members and Observers - SO 112/1	
8	SO 112/1	Nominations, Appointments of Representatives, Members and Observers	Indefinite
9	SO 112/1(1) to (2)	Case Files of General Correspondence with Representatives, Members and Observers	10 years
10	SO 112/2	Commission for Social Development - Case Files of General Correspondence by Session	6 years
		Committees, Conference and Working Groups - SO 113	
11	SO 113	Committees, Conference and Working Groups	Indefinite
12	SO 113(1) to (7)	Committees, Conference and Working Groups - Case Files of General Correspondence by Working Group and Conferences	Indefinite

130
FORM NO. 284
(2-74)

WORLD BANK GROUP

SCHEDULE FOR RETENTION AND DISPOSAL OF RECORDS

FIGURE 3 (c)

Schedule No. 20

Records of (Admin. Services Records & Comm. Division) Central Files
(Department)

Item No.	Description	Retention Period
11.	Geological Reports	Destroy 30 years from date of document (clear with Regional Projects Division Chief)
12.	Traffic Studies	Destroy 7 years from Closing Date
13.	Market Studies	Destroy 7 years from Closing Date
14.	Investment Programme of Borrower	Destroy 5 years from Closing Date
15.	Borrower's Budget - Construction and Operating	Preliminary: Destroy on receipt of Final Version Final Version: Destroy 5 years from Closing Date (for large dams, destroy after repayment of loan)
16.	Financial Reports from Consultants and Borrower	Destroy 20 years from date of document

DEPARTMENTS TO WHOM THIS SCHEDULE HAS BEEN CIRCULATED FOR COMMENT:

☐ On behalf of the department indicated above, I agree that the retention periods for the records listed will be sufficient to serve the needs of the Bank Group.

☐ I agree, except as to the following items:

SIGNATURE:	NAME AND TITLE (Please type):	DATE:

APPROVED BY CHIEF, RECORDS MANAGEMENT SERVICES

DATE: 6/10/75

FIGURE 4 (a)

UNITED NATIONS ARCHIVES

REQUEST FOR TRANSFER OF INACTIVE RECORDS

See reverse side for instructions before completing form. Please type.

To: Archives Section Ext. 8688
Room PK-1200
345 Park Avenue South
New York, NY 10010

From:

1. Records belong to:

Department: Division: Section:

2. Location (building and room):

3. Creating Office (if different from No.1):

4. Records Series Description:

Detailed list attached? ( ) Yes ( ) No

5. Inclusive Dates:

6. Linear measurement (in inches or feet):

7. Filing Method:

8. Series Finding Aids? Identify:

9. Classification (restrictions on use): ( ) Unrestricted
( ) Restricted (circle one): Top Secret/Secret/Restricted/Conf.
( ) Other Restriction - Define:

10. Extent of Duplication:

11. File Breaks?
( ) Yes - When?
( ) No

12. Nature and Frequency of Use (per month):

13. Rate of Accumulation:

14. How often are these records retired?

15. To be retained for how many years? (not applicable to records on a disposal schedule)

16. Remarks (if any):

17. Prepared by: Ext:

Date:

(name) (title)

RMS.34 (10-80)

06.1.348.1

RECORDS TRANSFER CONTROL

R. G. No.

FIGURE 4 (b)

To: RECORDS CENTRE	From: DEPARTMENT	DIVISION	BRANCH

LOCATION OF RECORDS N° OF FILE DRAWERS	DATE.	PERSON INITIATING TRANSFER

CHECK FILING SYSTEM	ALPH.	CHRON	NUM.	GEOG	SUBJ	SCHED. RETENTION PERIOD		NORMAL DISPOSAL DATE
						RECORD CEN.	OFFICE	

ITEM	RECORDS DESCRIPTION	RECORDS DATE FROM	RECORDS DATE TO (INCL)	RECORDS CENTRE

SPECIAL INSTRUCTIONS OR ADDITIONAL INFORMATION

DISPOSAL APPROVAL AND CERTIFICATION

DEPARTMENT OFFICIAL — DATE

CERTIFICATION OF DESTRUCTION RECORDS CENTRE — DATE

UNITED NATIONS ARCHIVES

ACCESSION CONTROL SHEET

FIGURE 5

ACCESSION NUMBER		
AG	Year	No.

1. Office of Origin: _____

Room No.: _____ Ext.: _____

2. Series Identification:

Description	Inclusive Dates	Linear Measurement

3. Restrictions:

4. Location:

5. Archives Section Finding Aids:

6. Appraisal Criteria (if not on a disposal schedule):

7. Recommendation for Disposition (and authority, if on a disposal schedule):

8. Disposal:

Office of Origin Approval _____ Date _____
(Name of Officer and Title)

Archives Section Approval _____ Date _____
(Archives Officer)

Method of Disposal _____ Date _____

RMS.33 (10-80)

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INDEX

Abolished and suppressed organizations, 35, 36, 122, 158
Access, public, 26, 121, 124, 133, 139, 180, 197
Access, restrictions, 22, 26, 133, 176, 178, 180
Accession reports, 19, 117, 119, 123, 176, 179
Accessions, archival, 22, 122, 176, 177
Acid-free file accessories, 54, 56, 57, 89, 149, 151, 163, 184
Administrative history; see Record group statement
Administrative Manuals, 7, 10, 11, 28, 60, 102, 122, 154
Administrative privacy, 20
Administrative services unit, 10, 13, 15, 61
Alienated official records, 125, 177
Aperture cards, 71
Appraisal, 18, 19, 22, 27, 28, 33, 34, 36, 52, 98, 108, 117, 122, 158, 174, 176
Archival arrangement, 20, 126, 128, 178, 179
Archival education; see Training
Archival integrity, 126, 159, 178
Archives, 8, 13, 14, 15, 16, 17, 19, 20, 21, 22, 23, 24, 26, 29, 32, 36, 39, 40, 45, 47, 52, 62, 68, 71, 79, 82, 98, 119, 121, 154, 155, 160, 175, 177, 178
Archives boxes; see Documents boxes
Audiovisual aids, 47, 161
Audiovisual records, 90, 109, 116, 147, 174, 184
Automation, 30, 62, 63, 65, 70, 72, 131, 132, 160, 164, 176, 180
Automation, source data, 66, 164

Ballpoint pens, 55, 56
Bibliographical listings, 23, 25, 26, 63, 64, 78, 131, 156
Binding, library, 25
Binders, ring, 88, 92, 169
"Blip" retrieval, 70, 72, 76
Budget and planning unit, 29
Building management service, 15, 29, 106, 107, 173, 176

Cable services; see Communications
Carbon copies, 54, 56, 57, 149, 163
Cartographic records, 29, 109, 116, 152, 156, 157, 174
Cartridges, microfilm, 70, 71, 76
Case files; see Project files
Cassettes, microfilm, 70, 73, 76
Chairman, ICA/SAIO; see United Nations Archives (N.Y.)
Charge-out folders and guides, 11, 89, 91
Chronological copies, 10, 54, 58
CIM microforms, 28, 76
Classification of information; see Security classification
Classification plans; see Files classification
Closed files, 11, 19, 82
COM microforms, 28, 63, 71, 74, 75, 76, 77, 96, 165, 166
Communications, 8, 12, 13, 14, 16, 17, 18, 19, 47, 58, 59, 154, 155
Computer-generated records, 27, 28, 62, 156 (see also Machine-readable records)
Computer printouts, 27, 63, 77, 88, 108, 147, 174
Computers; see Automation
Conference services, 24, 26, 156
Confidential waste, 106, 108, 174
Confidentiality; see Access restrictions; Security classification
Convenience copying, 67, 69, 97, 165
Convenience files; see Working files
Correspondence management, 52, 57, 59, 62, 163
Correspondence Manuals, 8, 9, 10, 11, 47, 58, 59, 60, 154
Correspondence reference symbols, 9, 40
Cost-effective analysis, 74, 132, 133, 147, 148, 165, 183
Current files, 8, 12, 19, 71, 81, 85, 128, 167
Cut-off dates, 103

Data banks, 27, 29, 30, 63, 157
Dating of mail, 18, 19, 57, 58
Decentralized files, 17, 19, 48, 59, 60, 64, 81, 82, 83, 119, 127, 128, 161, 173
Declassification; see Security classification
Destruction, 12, 20, 33, 74, 98, 106, 119, 157, 173, 176
Diazo microform copies, 79, 149, 166
Directives, 6, 7, 8, 20, 21, 154, 187
Directives management, 29, 61, 62, 156, 163, 164
Disintegrators, 106, 107, 173
Disposal lists, 20, 98, 102, 105, 118, 172
Disposals, 8, 12, 17, 29, 30, 34, 72, 82, 102, 158, 171, 172, 173, 176
Documentation services, 10, 26, 156, 165
Documents boxes, 88, 89, 92, 169
Documents retained in offices, 11, 84
Documents, secretariat, 24, 26, 29, 77, 79, 84, 109, 126, 155
Downgrading; see Security classification

Editorial services, 29, 61
Educational and cultural services, 151, 184
Environmental controls, 142, 143, 144, 153, 156, 184
Ephemeral records, 8, 28, 59, 99, 102, 109, 178 (see also Separation)
Exhibits, 20, 151, 184
Expert Consultation on UN Archives, 1, 4, 23, 35

Facsimile transmission, 14, 19
Fibre-tip pens, 55
Field inspection reports, 13, 34, 158
Field Office Manuals, 8, 12, 34, 154, 157
Field offices, 31, 67, 157
File breaks, 103
File cabinets, 87, 91, 169
File folders, 88, 91, 163, 169
File stations, 17, 19, 48, 58, 59, 81, 82, 111, 122, 127, 161, 167
Files classification, 11, 12, 19, 33, 59, 64, 66, 81, 82, 83, 84, 85, 86, 157, 167
Files management, 59, 62, 163
Filing equipment and supplies, 11, 29, 67, 86, 90, 94, 145, 156, 168, 182
Filing equipment, control of assignment, 92, 169

Filing systems, 11, 81, 99, 110, 167
Film library, 29, 30 (see also Audio-visual records)
Finding aids, 18, 19, 20, 23, 26, 33, 34, 117, 124, 125, 126, 129, 131, 156, 159, 162, 176, 177, 179
Fire protection, 142, 143, 145, 182
Follow-up procedures, 48, 58
Form and guide letters, 11, 59
Formal instruments; see Legal instruments
Forms, 11, 29, 51, 55, 56, 100, 101, 105, 162, 171, 172
Forms management, 29, 60, 62, 156, 162, 163

Gifts, purchases and loans, 126, 178
Guide to Information Sources, 30, 157
Guided tours, 152, 153

Housekeeping records, 58, 60, 83, 99, 102, 104, 109, 112, 164, 172, 174
Humidity; see Environmental controls

Indexes, archival; see Finding aids
Indexing, documents, 27, 63, 130
Indexing, registry, 40, 63, 65, 66, 82, 84, 130, 131, 164, 180
Information copies, 10, 19, 54, 59, 68, 69
Ink, 55
Inspection of field offices; see Field inspection reports
Inspection of office records, 14, 20, 101, 154
Inter-agency correspondence, 134
Inter-agency internships, 46, 160
Inter-office memoranda, 10, 59
Internal issuances, 20, 21, 23, 33
Inventories, descriptive, 123, 129, 131, 180
Inviolability of archives, 7, 8, 48, 123, 124, 154, 176

Job descriptions, 38, 41, 159, 191

Languages, 38
Legal admissibility of microforms, 74, 166
Legal instruments, 13, 54, 57, 83, 91, 94, 109, 140, 163, 174
Liaison with related services, 27, 29, 156, 171
Libraries, 20, 23, 24, 26, 29, 68, 74, 78, 79, 155, 156, 158, 165
Life cycle of records, 8, 41, 48, 50, 52, 83, 98, 155, 160
Lighting, 142, 144, 153, 184

Machine-readable records, 27, 66, 109, 114, 156, 174
Magnetic tapes, 27, 56, 67, 75, 77, 88, 95, 96, 97, 147, 150, 151, 166, 184
Mail, 17, 18, 19, 57, 81
Mail management, 13, 57, 62, 163
Mail routing guide, 58
Management services, 60, 61
Manifold paper; see Carbon copies
Membership documents; see Legal Instruments
Messenger services, 14, 57, 155
Metric measurements, 50, 51
Microfiche, 70, 71, 75, 78, 84, 88, 147 (see also COM microforms)
Microfilm aging blemishes, 150, 151, 184
Microfilm, roll, 64, 70, 71, 75, 78, 79, 90, 96, 147
Microfilming, 20, 71, 72, 73, 74, 77, 78, 79, 108, 110, 121, 126, 148, 149, 150, 162, 165, 166, 170, 178, 183, 184
Microform reader-printers, 68, 71, 77, 79
Microjackets, 68, 71, 72, 75
Micropublishing, 74, 80, 166
MINISIS, 58, 64, 194
Motion picture film for orientation, 48, 161 (see also Film library)
Multiple letters, 55

NCR paper, 56
Nonrecord material, 8, 93, 99, 101, 103, 105, 169, 173

Notice of staff separations, 123, 177
Notification of impending disposals, 117, 118, 176

Orientation of staff, 11, 47, 161, 165

Paper, 52, 55, 148, 150, 151, 163
Paperwork management, 57, 163
Permanent/durable paper, 53, 54, 57, 151, 163, 184
Personnel files, 115, 134, 135, 136
Personnel folders, 92
Personnel services, 10
Photocopying, 14, 19, 25, 53, 67, 68, 69, 127, 138, 148, 150, 151, 155, 165, 183
Photographs, 29, 90, 108, 109, 151, 152 153, 157, 174, 183
Pouch service, 12, 14, 18, 57
Preservation and restoration, 20, 56, 147, 160, 162, 183
Printed archives, 20, 23, 24, 26, 62, 74, 78, 109, 130, 131, 166
Private papers of officials, 35, 114, 125, 177
Procurement office, 29, 56, 86, 92, 93, 94, 162, 169, 170
Project files, 32, 92, 109, 113
Programme budgeting, 50
Provenance, 22, 25, 122, 126, 178
Publication of archives, 20, 140, 181
Publications, 23, 26, 29, 61, 77, 79, 80, 166

Record centre/archives, 8, 18, 19, 20, 98, 102, 116, 119, 120, 124, 131, 142, 145, 176, 177
Record centre cartons, 89, 92, 117
Record copies, 10, 54, 57, 62, 156
Record group, 22, 122, 124, 127, 129, 179
Record group statement, 129, 131, 179
Record series, 22, 98, 102, 122, 127, 179
Record surveys, 20, 30, 34, 67, 98, 99, 101, 131, 158, 171, 203

Records and archives programme, 2, 3, 6, 18, 43, 155
Records creation, 52, 156, 162
Records management, 2, 8, 13, 14, 15, 16, 45, 52, 62, 98, 154, 155, 160
Records Manuals, 8, 11, 154
Records retirement unit, 18, 120
Recruitment, 37, 156, 159 (see also Staffing)
Recycling of paper, 106, 174
Regional offices; see Field offices
Registry, 8, 11, 13, 15, 16, 17, 18, 59, 81, 84, 109, 111, 119, 122, 128, 129, 155, 160, 164
Registry systems, automated, 64, 65, 164
Reporting and statistics, 35, 49, 51, 66, 158, 162, 202
Reports management, 29, 61, 62, 156, 163
Reprography, 67, 79, 138, 148, 160, 163, 165, 183
Research facilities, 20,121, 137, 181, 197, 201
Respect des fonds, 22
Restoration; see Preservation

Safe cabinets, 88, 91, 135
Safekeeping of records, 9, 154
Sampling, 31, 33, 110, 116, 175
Schedules, 8, 12, 14, 17, 20, 29, 82, 86, 98, 99, 102, 104, 105, 156, 157, 171, 172, 173, 204
Secretaries' Handbooks, 8, 9, 10, 69, 154
Security classification, 7, 9, 71, 134, 136, 154, 181
Security copies, 68, 73, 77, 95, 96, 97, 170
Security safeguards, 30, 48, 107, 108, 138, 143, 153, 154, 157, 173, 176, 184
Seminars, 44, 46, 152, 160, 184
Separation of ephemeral material, 33, 34, 69, 86, 158, 168
Shelf files and shelving, 87, 91, 143, 145, 169, 182
Shelf list, 118, 130, 131
Shredding, 106, 107, 117, 173, 176
Software, computer, 28, 63, 132, 133, 180
Sound recordings, 29, 109, 150, 151, 152, 153, 157, 183
Space utilization, 118, 131, 141, 144, 182
Staff, separation, 60, 101, 120, 123, 177
SPINDEX, 133, 180
Staffing, 27, 37, 156, 159, 180
Staging area, 120
Stationery, 55, 57
Statistical model, 50, 51, 162
Statistics; see Reporting
Statutes of limitations, 104, 112, 113, 172
Storage cabinets, 87, 92, 169
Subject classification; see Files classification
Subgroup, 22, 122, 124, 127, 179
Subseries, 111, 122
Surveys; see Record surveys

Technical cooperation records, 33, 34, 113, 115
Telephone service, 14, 155
Telex; see Communications
Temperature; see Environmental controls
Temporary files, 59, 69, 73, 86, 165 (see also Separation of ephemeral material)
Tests, use in recruiting, 41, 159
Tickler file, 118, 176
"Total information approach", 125, 128, 179
Training, 3, 39, 42, 44, 45, 46, 83, 133, 160, 161, 183
Transfer lists, 34, 129, 131, 176, 179, 207
Transfers, 7, 8, 10, 11, 12, 13, 17, 19, 30, 31, 34, 36, 82, 86, 93, 98, 103, 111, 122, 124, 154, 171, 176, 207
Transitory records; see Ephemeral records

Undocumented issuances, 62
United Nations Archives (N.Y.) 6, 36, 37, 104, 158, 159, 160, 187
Updatable microfiche, 71

Vesicular microfilm copies, 77, 79, 166
Visual aids; see Audiovisual aids
Vital records programmes, 76, 77, 79, 94, 96, 166, 170

Weeding, 14, 19, 34, 60, 69, 82, 83, 86, 103, 120, 127, 128, 168, 173, 177, 178
Word processors, 55, 66, 101, 118, 133, 180
Working files, 11, 60, 83, 99, 100, 102, 111, 120, 128, 167, 173
Workshops, 44, 46, 148, 160, 183